Front

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EMPLOYEE AND LABOR RELATIONS MANUAL

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U.S. POSTAL SERVICE
Washington, DC 20260

Employee & Labor Relations Manual (ELM)

Transmittal Letter 8
Issue 8, 3-17-83

A. EXPLANATION

1. Filing Instructions. Remove all previous Transmittal Letters and place this one in the front of the book.

Issue 8 replaces the following subchapters.

Contents
Subchapter 360
Subchapter 420
Subchapter 540
Subchapter 560
Subchapter 630
Subchapter 810
Subchapter 820
Subchapter 830
Subchapter 840
Subchapter 850
Subchapter 860

2. Check List. After Issue 8 is filed, the ELM should consist of the following.

Transmittal Letters	7
Contents	Issue 7
Chapter 1	Issue 3
Chapter 2	
Subchapter 210	Issue 3
Subchapter 220	Issue 3
Subchapter 230	Issue 3
Chapter 3	
Subchapter 310	Issue 4
Subchapter 320	Issue 4
Subchapter 330	Issue 4
Subchapter 340	Issue 4
Subchapter 350	Issue 4
Subchapter 360	Issue 8
Subchapter 370	Issue 4
Subchapter 380	Issue 6
Chapter 4	
Subchapter 410	Issue 7
Subchapter 420	Issue 8
Subchapter 430	Issue 6
Subchapter 440	Issue 4
Chapter 5	
Subchapter 510	Issue 7
Subchapter 520	Issue 7
Subchapter 530	Issue 3
Subchapter 540	Issue 8
Subchapter 550	Issue 7
Subchapter 560	Issue 8
Subchapter 570	Issue 3
Subchapter 580	Issue 7
Chapter 6	
Subchapter 610	Issue 6
Subchapter 620	(not published)
Subchapter 630	Issue 8
Subchapter 640	Issue 6
Subchapter 650	Issue 7
Subchapter 660	Issue 7
Subchapter 670	Issue 3
Subchapter 680	Issue 6

P1.12/7:

Chapter 7	
Subchapter 710	Issue 4
Subchapter 720	Issue 4
Subchapter 730	Issue 4
Subchapter 740	Issue 7
Subchapter 750	Issue 4
Chapter 8	
Subchapter 810	Issue 8
Subchapter 820	Issue 8
Subchapter 830	Issue 8
Subchapter 840	Issue 8
Subchapter 850	Issue 8
Subchapter 860	Issue 8
Subchapter 870	Issue 6
Chapter 9	
Subchapter 910	Issue 6
Appendix	Issue 7
Index	Issue 7

3. Summary of Changes

Subchapter 360. Sections 365.25, *Separation, Abandonment of Position*, & 365.312, *Procedure*, have had typographical errors corrected.

Subchapter 420. Section 422.261a, *(Step Assignment) To Former Lower Grade*, now includes salary adjustment instructions. This revision was previously published in **Postal Bulletin** 21369, dated 9-16-82.

Subchapter 540.

Section 545.877, *Delegation of Authority*, now includes authorization to sign releases on behalf of the Postal Service.

Section 546.54, *Notification*, has been revised to show the new name and address of the former Retirement and Insurance Division of the Office of Personnel Management.

Subchapter 560. Section 568.321, *Requirements*, revises certain management-initiated disability retirement procedures. This revision was previously published in **Postal Bulletin** 21372, dated 10-7-82.

Subchapter 630.

Part 633, *Employee Suggestion Program* (formerly *Suggestion Awards*), has been revised to include the new Employee Suggestion Program. This revision was previously published in **Postal Bulletin** 21384, dated 12-30-82.

Section 634.42, *Eligibility*, has had a typographical error corrected. This correction was previously published in **Postal Bulletin** 21371, dated 9-30-82.

Section 638.32, *Kinds*, has been changed to require that safety contest and award prizes be appropriate for both sexes.

Subchapter 810-850. These subchapters have been completely revised.

Subchapter 860. Subchapter 860, *Medical Services*, has been completely revised. This revision was previously published in **Postal Bulletin** 21386, dated 1-13-83.

B. DISTRIBUTION

1. **Criterion.** The distribution of this manual is restricted to (a) post offices and other facilities with designated personnel functions and (b) units responsible for implementing USPS employee and labor relations policy.

2. **Post Offices.** Copies of this manual are mailed directly to postmasters. The quantity for each office is based on its CAG designation, as follows:

Authorized holders of ELM	Post Offices by Cost Ascertainment Group (CAG)					
	A	B	C, D & E	F & G	H & J	K & L*
Total	Quantity determined by each office	6 copies	4 copies	2 copies	1 copy	No copies authorized
Postmaster		x	x	x	x	
Customer Services		x				
Mail Processing		x	x			
Finance		x	x			
Employee & Labor Relations		x				
Personnel Manager		x	x			
Lead Supervisor				x		

*CAG K & L post offices do not receive copies of this manual. Management sectional centers furnish functional guidance to their associate offices.

Stations and branches do not receive copies of this manual. Postmasters provide functional guidance to these facilities.

3. Other Installations. Copies of this manual are mailed directly to the facilities listed [illegible]:

Public Library, Newark, N. J.

Facility	Quantity	Facility	Quantity
Area Maintenance Offices	1	Postal Employee Development Centers (PEDCs)	1
Automatic Data Processing Centers (ADPC's)	4	Postal Services Centers	1
Bulk Mail Centers	4	PST & DI	
Districts	4	Bethesda	98
Inspectors in Charge	varies	East Coast Field Center	12
Mail Equipment Shops	1	Midwest Field Center	12
Management Sectional Centers	4	Southern Field Center	14
Maintenance Capable Offices	1	West Coast Field Center	12
Maintenance Technical Support Center	3	Oklahoma (Technical Center)	12
Mailbag Repair Centers and Depositories	1	Regional Administration Branches	*
Mechanization Overhaul Centers	1	Regional Chief Inspector	varies
Money Order Division	1	Stamped Envelope Agency	1
Postal Data Centers (PDCs)	6	Transportation Management Offices	1
Procurement Services Offices	1	Vehicle Maintenance Facilities	1
Personnel Services Centers	6		

* Each regional administration branch receives enough copies to redistribute 1 copy to each manager at and above the division level.

C. MANUAL MAINTENANCE

1. Responsibility. All facilities receiving copies of the ELM are responsible for insuring that each manual is current. Specifically:

a. Each postmaster or installation head must designate a *directives distribution liaison (DDL)* to distribute copies within the facility and to maintain distribution records.

b. Future *transmittal letters (TLs)* must be filed promptly so that each manual will have the most up-to-date information.

2. Distribution Record. The directives distribution liaison must prepare a distribution record containing the data indicated in the exhibit. If additional copies of this manual are requisitioned and received, the distribution record must be updated. To assure correct distribution of future transmittal letters, the distribution record must always be accurate. It must always indicate the number of copies on hand at each facility and the title of the recipient of each copy.

A. Total quantity received.
B. Title of each recipient.
C. Quantity held by each recipient

Distribution Record Data

D. REQUISITIONS

1. **Field Installations.** Send Form 1286, *Request for USPS Directives*, to your Regional Administration Branch (RAB). Your RAB reviews requests and forwards to the supply source which fills orders.

2. **Headquarters.** Headquarters units contact Document Control Division.

E. SALE TO PUBLIC

This manual is available to the public on a subscription basis through:

Superintendent of Documents
Government Printing Office
Washington, DC 20402

F. INTERPRETATION AND COMMENTS

1. **EEO Consideration.** The singular pronoun *he* is used in this manual for convenience only. It is used in a generic sense and therefore applies to a female employee as well as to a male employee.

2. **Questions and Problems.** If you cannot find or understand certain material or discover that topics were omitted, send a memo outlining the problems through management channels to: USPS Headquarters, Document Control Division, Attention ELM, Washington, DC 20260.

G. **EFFECTIVE DATE.** This material is effective upon receipt.

Charles K. Kernan

Charles K. Kernan
Assistant Postmaster General,
Information Resource Management

trans. 7

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Employee & Labor Relations Manual (ELM)

Transmittal Letter 7
Issue 7, 6-15-82

A. EXPLANATION

1. Filing Instructions. Remove all previous Transmittal Letters and place this one in the front of the book.

Issue 7 replaces the following subchapters.

Contents
Subchapter 360
Subchapter 410
Subchapter 510
Subchapter 520
Subchapter 540
Subchapter 550
Subchapter 580
Subchapter 630
Subchapter 650
Subchapter 660
Subchapter 740

2. Check List. After Issue 7 is filed, the ELM should consist of the following.

Transmittal Letters	7
Contents	Issue 7
Chapter 1	Issue 3
Chapter 2	
Subchapter 210	Issue 3
Subchapter 220	Issue 3
Chapter 3	
Subchapter 310	Issue 4
Subchapter 320	Issue 4
Subchapter 330	Issue 4
Subchapter 340	Issue 4
Subchapter 350	Issue 4
Subchapter 360	Issue 7
Subchapter 370	Issue 4
Subchapter 380	Issue 6
Chapter 4	
Subchapter 410	Issue 7
Subchapter 420	Issue 6
Subchapter 430	Issue 6
Subchapter 440	Issue 4
Chapter 5	
Subchapter 510	Issue 7
Subchapter 520	Issue 7
Subchapter 530	Issue 3
Subchapter 540	Issue 7
Subchapter 550	Issue 7
Subchapter 560	Issue 3
Subchapter 570	Issue 3
Subchapter 580	Issue 7
Chapter 6	
Subchapter 610	Issue 6
Subchapter 620	(not published)
Subchapter 630	Issue 7
Subchapter 640	Issue 6
Subchapter 650	Issue 7
Subchapter 660	Issue 7
Subchapter 670	Issue 3
Subchapter 680	Issue 3

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Chapter 7	
Subchapter 710	Issue 4
Subchapter 720	Issue 4
Subchapter 730	Issue 4
Subchapter 740	Issue 7
Subchapter 750	Issue 4
Chapter 8	
Subchapter 810	Issue 3
Subchapter 820	Issue 3
Subchapter 830	Issue 3
Subchapter 840	Issue 3
Subchapter 850	Issue 3
Subchapter 860	Issue 3
Subchapter 870	Issue 6
Chapter 9	
Subchapter 910	Issue 6
Appendix A	Issue 7
Index	Issue 7

3. Summary of Changes

a. Subchapter 220. Removes prohibition for cases involving positions below the regional HQ level.

b. Subchapter 360. Establishes requirement for regional approval for involuntary separation of employees on the rolls of the OWCP for 1 year.

c. Subchapter 410. Revises procedures for calculating the annuities of management association officers. Allows assignment of FLSA-covered persons to FLSA-exempt positions.

d. Subchapter 510. Revises procedures for computing leave categories. Places military leave on a fiscal rather than a calendar year basis.

e. Subchapter 520. Incorporates changes previously published in the *Postal Bulletin* (532.32 and 524.64) and deletes the *Health Benefits Schedule* and the *Comprehensive Plans Presently Participating* tables which will now be published only in the Postal Bulletin. The current versions are in PB 21328 (12-3-81), p. 11, as modified by PB 21344 (3-25-82), p. 7.

f. Subchapter 540. Delegates to the MSC level the authority to settle third-party liability cases. (Previously published in the Postal Bulletin.)

g. Subchapter 550. Miscellaneous address changes.

h. Subchapter 580. Miscellaneous minor word changes and revisions.

i. Subchapter 630. Extensively revised to add new safety contests and awards part 638 and updates of Service Awards for 25-35 years service and Certificate of Appreciation. (Previously published in the Postal Bulletin.)

j. Subchapter 650. Extensively revises non-bargaining disciplinary, grievance, and appeal procedures.

k. Subchapter 660. Clarifies provisions for legal representation of employees.

l. Subchapter 740. Adds *Continuing Medical Education and Training.*

B. DISTRIBUTION

1. Criterion. The distribution of this manual is restricted to (a) post offices and other facilities with designated personnel functions and (b) units responsible for implementing USPS employee and labor relations policy.

2. Post Offices. Copies of this manual are mailed directly to postmasters. The quantity for each office is based on its CAG designation, as follows:

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Employee & Labor Relations Manual (ELM)

Transmittal Letter 6
Issue 6, 5-20-81

A. EXPLANATION

1. **Filing Instructions.** File this transmittal letter in front of Transmittal Letter 5. Remove Transmittal Letters 1 & 2. Also, follow instructions in the table below.

Remove the following from Issues 1, 3, 4 & 5:	Insert the following from Issue 6:
Contents	Contents
	Subchapter 380
Subchapter 410	Subchapter 410
	Subchapter 420
Subchapter 430	Subchapter 430
Subchapter 540	Subchapter 540
Subchapter 610	Subchapter 610
Subchapter 640	Subchapter 640
Subchapter 650	Subchapter 650
Subchapter 660	Subchapter 660
Subchapter 680	Subchapter 680
Subchapter 870	Subchapter 870
Subchapter 910	Subchapter 910

2. **Check List.** After Issue 6 is filed, the ELM should consist of the components itemized in the table below.

Transmittal Letters	3, 4, 5, and 6
Contents	Issue 6
Chapter 1	Issue 3
Chapter 2	Issue 3
Chapter 3	
Subchapter 310	Issue 4
Subchapter 320	Issue 4
Subchapter 330	Issue 4
Subchapter 340	Issue 4
Subchapter 350	Issue 4
Subchapter 360	Issue 4
Subchapter 370	Issue 4
Subchapter 380	Issue 6
Chapter 4	
Subchapter 410	Issue 6
Subchapter 420	Issue 6
Subchapter 430	Issue 6
Subchapter 440	Issue 4
Chapter 5	
Subchapter 510	Issue 3
Subchapter 520	Issue 3
Subchapter 530	Issue 3
Subchapter 540	Issue 6
Subchapter 550	Issue 3
Subchapter 560	Issue 3
Subchapter 570	Issue 3
Subchapter 580	Issue 3
Chapter 6	
Subchapter 610	Issue 6
Subchapter 620	(not published)
Subchapter 630	Issue 3
Subchapter 640	Issue 6
Subchapter 650	Issue 6
Subchapter 660	Issue 6

P 1.12/7:

Chapter 6—Continued	
Subchapter 670	Issue 3
Subchapter 680	Issue 3
Chapter 7	Issue 4
Chapter 8	
Subchapter 810	Issue 3
Subchapter 820	Issue 3
Subchapter 830	Issue 3
Subchapter 840	Issue 3
Subchapter 850	Issue 3
Subchapter 860	Issue 3
Subchapter 870	Issue 6
Chapter 9	
Subchapter 910	Issue 6
Appendix A	Issue 6
Index	Issue 5

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3. Summary of Changes

a. Subchapter 380. This new subchapter discusses the purpose, positions, and basic methods of filling vacancies in the Postal Career Executive Service (PCES). A comprehensive handbook covering all aspects of the PCES will be issued in the future.

b. Subchapter 410. Changes consist of minor word changes and corrections of typographical errors, and omissions. Exhibit 418.1 was modified to incoporate NPPN(G) and DAD(W) rate schedule codes.

c. Subchapter 420. This new subchapter details the wage administration policy for Bargaining Unit Employees.

d. Subchapter 430. Changes consist of corrections due to omissions and typographical errors in Issue 4.

e. Subchapter 540. This revision incorporates the material originally issued in Postal Bulletin articles.

f. Section 615. This section is completely revised and expanded to provide greater detail in information and policy for the Social and Recreational Programs.

g. Subchapter 640. This subchapter is reissued to correct the typographical errors in Issue 4.

h. Subchapter 650. Changes consist of minor word changes and revision to 652.41 as previously issued in the Postal Bulletin.

i. Subchapter 660. Changes consist of minor word changes and revisions to 663.3 and 668.1.

j. Subchapter 680. Sections 682.5 and 683.21c are omitted to reflect changes in policy.

k. Subchapter 870. Subchapter 870 is a complete revision as previously issued in the Postal Bulletin.

m. Subchapter 910. Changes consist of minor word changes and corrections.

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Customer Services		x				
Mail Processing		x	x			
Finance		x	x			
Employee & Labor Relations		x				
Personnel Manager		x	x			
Lead Supervisor				x		

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Bulk Mail Centers	4	PST & DI	
Districts	4	Bethesda	98
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Mail Equipment Shops	1	Midwest Field Center	12
Management Sectional Centers	4	Southern Field Center	14
Maintenance Capable Offices	1	West Coast Field Center	12
Maintenance Technical Support Center	3	Oklahoma (Technical Center)	12
Mailbag Repair Centers and Depositories	1	Regional Administration Branches	*
Mechanization Overhaul Centers	1	Regional Chief Inspector	varies
Money Order Division	1	Stamped Envelope Agency	1
Postal Data Centers (PDCs)	6	Transportation Management Offices	1
Procurement Services Offices	1	Vehicle Maintenance Facilities	1
Personnel Services Centers	6		

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C. MANUAL MAINTENANCE

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Charles K. Kernan

Charles K. Kernan
Executive Assistant for
Information Resource Management

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Customer Services		x				
Mail Processing		x	x			
Finance		x	x			
Employee & Labor Relations		x				
Personnel Manager		x	x			
Lead Supervisor				x		

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Bulk Mail Centers	4	PST & DI	
Districts	4	Bethesda	98
Inspectors in Charge	varies	East Coast Field Center	12
Mail Equipment Shops	1	Midwest Field Center	12
Management Sectional Centers	4	Southern Field Center	14
Maintenance Capable Offices	1	West Coast Field Center	12
Maintenance Technical Support Center	3	Oklahoma (Technical Center)	12
Mailbag Repair Centers and Depositories	1	Regional Administration Branches	*
Mechanization Overhaul Centers	1	Regional Chief Inspector	varies
Money Order Division	1	Stamped Envelope Agency	1
Postal Data Centers (PDCs)	6	Transportation Management Offices	1
Procurement Services Offices	1	Vehicle Maintenance Facilities	1
Personnel Services Centers	6		

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B. Title of each recipient.
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2. **Headquarters.** Headquarters units contact Directives and Forms Division.

E. SALE TO PUBLIC

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F. INTERPRETATION AND COMMENTS

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G. EFFECTIVE DATE. This material is effective upon receipt.

H. ISSUANCES RESCINDED

1. Subchapter 420 rescinds Chapter 7 of the *Postal Manual.*

2. Any local issuances in conflict with Issue 6.

Charles K. Kernan

Charles K. Kernan
Executive Assistant for
Information Resource Management

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Washington, DC 20260

Employee & Labor Relations Manual (ELM)

Transmittal Letter 5
Issue 5, 4-1-81

A. EXPLANATION

1. Filing Instructions. File this transmittal letter in front of Transmittal Letter 4. Also, follow instructions in the table below.

Remove the Following from Issues 1-4:	Insert the Following from Issue 5:
	Index .... 11 sheets

2. Check List. After Issue 5 is filed, the ELM should consist of the components itemized in the table below.

Transmittal Letters 1, 2, 3, 4 and 5	
Contents	Issue 4
Chapter 1	Issue 3
Chapter 2	Issue 3
Chapter 3	Issue 4
Chapter 4	Issue 4
Chapter 5	Issue 3
Chapter 6	
613.2-637.93	Issue 3
645.3	Issue 4
651.35-683.12	Issue 3
Chapter 7	Issue 4
Chapter 8	Issue 3
Chapter 9	Issue 1
Appendix A	Issue 4
Index	Issue 5

3. Summary of Changes

Issue 5 transmits an Index for ELM Issues 1-5.

B. DISTRIBUTION
C. MANUAL MAINTENANCE
D. REQUISITIONS
E. SALE TO PUBLIC

See paragraphs B-E of Transmittal Letter 1.

F. INTERPRETATIONS AND COMMENTS

1. EEO Consideration. The singular pronoun he is used in this manual for convenience only. It is used in a generic sense and therefore applies to a female employee as well as to a male employee.

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G. EFFECTIVE DATE. This material is effective upon receipt.

Charles K. Kernan

Charles K. Kernan
Executive Assistant for
Information Resource Management

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Washington, DC 20260

Transmittal Letter 4
Issue 4, 8-29-80

Employee & Labor Relations Manual (ELM)

A. EXPLANATION

1. Filing Instructions. File this transmittal letter in front of Transmittal Letter 3. Also, follow instructions in the table below.

Remove the Following from Issues 1, 2 & 3:		Insert the Following from Issue 4:	
Contents	11 sheets	Contents	11 sheets
Chapter 3	24 sheets	Chapter 3	20 sheets
Chapter 4	21 sheets	Chapter 4	23 sheets
Subchapter 640	1 sheet	Subchapter 640	1 sheet
Chapter 7	13 sheets	Chapter 7	14 sheets
Appendix A	1 sheet	Appendix A	3 sheets

2. Check List. After Issue 4 is filed, the ELM should consist of the components itemized in the table below.

Transmittal Letters 1, 2, 3 and 4		Chapter 6	
Contents	Issue 4	613.2-637.93	Issue 3
Chapter 1	Issue 3	645.3	Issue 4
Chapter 2	Issue 3	651.35-683.12	Issue 3
Chapter 3	Issue 4	Chapter 7	Issue 4
Chapter 4	Issue 4	Chapter 8	Issue 3
Chapter 5	Issue 3	Chapter 9	Issue 1
		Appendix A	Issue 4

3. Summary of Changes

a. Chapter 3. This chapter is revised to incorporate current postal policy concerning employment and placement.

b. Chapter 4. New Subchapter 410 reflects policy changes resulting from the EAS Schedule. Section 436.411 is expanded and recoded to include instructions for back pay claims for part time flexible employees. Part 438 is a complete revision to postal policies and procedures concerning pay during travel or training.

c. Chapter 6. Subchapter 640 revises policy for employee claims.

d. Chapter 7. Subchapter 720 is reprinted for filing convenience only. Other material is changed as follows:

710 and 730 are almost complete revisions to help facilitate Postal Service compliance with the Fair Labor Standards Act.

740 consists of minor changes to references.

751 and 754.2 codification numbers are added.

e. Appendix A. The new appendix updates the list of directives related to the ELM, and indicates the related Chapter/Subchapter.

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B. DISTRIBUTION

C. MANUAL MAINTENANCE

D. REQUISITIONS

E. SALE TO PUBLIC

See paragraphs B-E of Transmittal Letter 1.

F. ISSUANCES RESCINDED

1. Regional Instruction 739-PO-143, IV-25-73, filing no. 385-1.
2. Management Instruction EL-430-80-6.
3. Any local issuances in conflict with Issue 4.

G. INTERPRETATIONS AND COMMENTS

1. EEO Consideration. The singular pronoun he is used in this manual for convenience only. It is used in a generic sense and therefore applies to a female employee as well as to a male employee.

2. Questions and Problems. If you cannot find or understand certain material or discover that topics were omitted, send a memo outlining the problems through management channels to: USPS Headquarters, Directives & Forms Division, Attention ELM,.Washington, DC 20260.

H. EFFECTIVE DATE. This material is effective upon receipt.

P. J. Skelly

P. J. Skelly
Director
Office of Management Services

U.S. POSTAL SERVICE
Washington, DC 20260

Employee & Labor Relations Manual (ELM)

Transmittal Letter 3
Issue 3, 1-22-79

A. EXPLANATION

1. Filing Instructions. File this transmittal letter in front of Transmittal Letter 2. Also, follow instructions in the table below.

Remove Issues 1 & 2	Insert Issue 3
Contents	Contents
Chapter 1	Chapter 1
Chapter 2	Chapter 2
Sheets 311.313–354.342	Sheets 311.313–354.342
Subchapter 510	Chapter 5
Subchapters 520–580	
Chapter 6	Chapter 6
Chapter 8	Chapter 8

2. Check List. After Issue 3 is filed, the ELM should consist of the components itemized in the table below.

Transmittal Letters 1, 2, and 3	(5 sheets)	Chapter 4	Issue 1 (21 sheets)
Contents	Issue 3 (11 sheets)	Chapter 5	Issue 3 (58 sheets)
Chapter 1	Issue 3 (11 sheets)	Chapter 6	Issue 3 (20 sheets)
Chapter 2	Issue 3 (14 sheets)	Chapter 7	Issue 2 (13 sheets)
Chapter 3		Chapter 8	Issue 3 (7 sheets)
311.313-354.342	Issue 3 (12 sheets)	Chapter 9	Issue 1 (2 sheets)
354.434-379	Issue 2 (12 sheets)	Appendix A	Issue 1 (1 sheet)

3. Summary of Changes

a. Chapter 1. Changes consist of minor word changes throughout text and Exhibit 163.32 as well as addition of new section 163.75.

b. Chapter 2. Changes consist of minor word changes throughout text as well as correction of material under 222.5.

c. Chapter 3. (1) Contents page erroneously printed within the text was replaced, (2) references throughout 310 were corrected, (3) new section 353.4 was added, and (4) section 354.422 was deleted.

d. Chapter 5. Subchapters 530, 540, 570, and 580 were reprinted for filing convenience only. Other material was changed as follows:

512.532, 513.62, and 517.112c corrected references.

512.411 added missing words, "requested on Form 3971".

513.371 split item d into items d and 3 and revised phrasing.

518.5 added new section on holiday leave for CAG A–K postmasters.

P1.12/7:

Free Public Library, Newark, N.J.

519.62 was revised to allow employees in overtime status to be credited for work time while receiving medical attention.

524.731 specifies *remarks* for terminate health benefit enrollment when employee is no longer a member of the sponsoring organization.

525.42a reflects Public Law 95-583, approved November 2, 1978, which reduces service requirements for retirement health benefit coverage from 12 years to 5 years.

529.31–529.32 codification numbers were corrected.

552.22–552.23 changed responsibilities from Regional Counsel to Regional Labor Counsel; added responsibiltiies for Regional Counsel.

554.431 deleted reference to *General Administration Manual* (GAM) because the GAM will not be printed; instead material intended for the GAM will be incorporated in the *Administrative Support Manual* (ASM).

563.22 specifies that law enforcement officers (i.e., Postal Inspectors) are the only USPS employees subject to mandatory retirement because of age.

e. Chapter 6. Subchapters 640, 670, and 680 were reprinted for filing convenience only. Other material was changed as follows:

612.23 consists of minor format revisions.

630, Suggestions and Incentive Awards, is a complete revision. New policies and procedures were added; the language was streamlined; and the format was improved.

650 and 660 codification numbers were reversed to agree with references previously advertised (i.e., 650 is a reprint of the material previously numbered 660 and vice versa).

f. Chapter 8. This chapter is almost a complete revision of the material previously published. Specifically:

810, *Occupational Safety and Health*, is a complete revision of the material previously titled *Safety*.

820, 830, 840, and 850 are all new subchapters.

860 and 870 are reprints of material previously codified as 840 and 850 respectively.

B. DISTRIBUTION

C. MANUAL MAINTENANCE

D. REQUISITIONS

E. SALE TO PUBLIC

See paragraphs B–E of Transmittal Letter 1.

F. ISSUANCES RESCINDED

1. Headquarters Circular 74-13 (filed as V-G-1).
2. Any local issuances in conflict with Issue 3.

G. INTERPRETATION AND COMMENTS

1. EEO Consideration. The singular pronoun he is used in this manual for convenience only. It is used in a generic sense and therefore applies to a female employee as well as to a male employee.

2. Questions and Problems. If you cannot find or understand certain material or discover that topics were omitted, send a memo outlining the problems through management channels to: USPS Headquarters, Directives & Forms Division, Attention ELM, Washington, DC 20260.

H. EFFECTIVE DATE. This material is effective upon receipt.

Philip J Skelly

P. J. Skelly
Director
Office of Management Services

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U.S. POSTAL SERVICE
Washington, DC 20260

Employee & Labor Relations Manual (ELM)

Transmittal Letter 2
Issue 2, 10-18-78

A. EXPLANATION

1. Filing Instructions. File this transmittal letter in front of the transmittal letter for Issue 1. Follow instructions in table below.

Remove Issue 1:		Insert Issue 2:	
Contents	(8 sheets)	Contents	(10 sheets)
Chapter 3	(23 sheets)	Chapter 3 ✓	(24 sheets)
Subchapter 510	(1 sheet)	Subchapter 510	(12 sheets)
Chapter 7	(10 sheets)	Chapter 7 ✓	(13 sheets)

2. Summary of Changes.

a. Chapter 3. General changes include corrections of references to other parts of the ELM and deletion of references to PES and PTAC schedules to reflect new combined EAS schedule (e.g., as in 353.343, 354.344b, and 375.1). Other changes include the following:

311.323 specifies that substitute rural carriers are non-career employees.

323.61 includes material about dual employment within the USPS that was not ready for publication in Issue 1.

331.321 extends applicability of inservice exams to include substitute rural carriers.

351.13 specifies that employees serving under temporary or casual appointments are eligible for reassignment, although not for promotion.

353.236 and *353.25* reflect the applicability of PASS and the written application procedures for initial level supervisors.

354.272 amends Form 1673, *Loan Hours Report*, to the loaned hours procedure.

355, Postal Managers Merit Selection Program, was completely revised to incorporate material published in *Postal Bulletin 21149*, 6-29-78, pages 6-10. This part establishes standardized procedures for all Regions in considering candidates for postmaster/sectional center manager positions.

b. Chapter 5. Subchapter 510, *Leave*, consists entirely of new material (i.e., material not ready for publication in Issue 1).

c. Chapter 7. Most changes in text relate to changes in the design and processing of training forms. Specific explanations follow:

711.3 amends definitions of developmental and self-development training to conform with those in Interim Publication 118, *Fair Labor Standards Act Policy and Instructions*, June 1978.

[illegible] Public Library, [illegible]

P1.12/7

715.3 documents procedures for new forms, Forms 1782A and 3132B.

722.12 adds item c to further clarify the PEDC concept.

722.45 specifies minimum PEDC audit team composition per *Postal Bulletin 21133*, 12-29-77.

731.2–731.3 conforms to requirements for new forms.

732.1 conforms with new reporting requirements and forms for monitoring compliance with the FLSA.

732.3 meets the automated TARS requirement.

741.2 amends the conditions for payment of non-postal training expenses to include reference to salary compensation requirements and clarification of the categories of training paid by the USPS.

742.3–742.4 deletes late approval section.

B. DISTRIBUTION (See B of Transmittal Letter 1.)

C. MANUAL MAINTENANCE (See C of Transmittal Letter 1.)

D. REQUISITIONS (See D of Transmittal Letter 1.)
Note: Specify the issue you want; i.e., Issue 2, in this case.

E. SALE TO PUBLIC (See E of Transmittal Letter 1.)

F. ISSUANCES RESCINDED

1. **Directives**
   - a. Postal Bulletin 21149, 6-29-78, pages 6–10, *Selection of Sectional Center Managers and Postmasters.*
   - b. Postal Manual (PM)–Chapter 7 material regarding leave.
   - c. Postal Service Manual (PSM)–part 256, *Employee Claims.* (Note: Actually, this was supposed to be rescinded by Issue 1, but was inadvertently missing from the Issue 1 recission list.)

2. **Local Issuances.** Any local issuances based on the rescinded directives or any local issuances in conflict with this manual are also rescinded.

G. COMMENTS

If you cannot find or understand certain material or discover that topics were omited, send a memo outlining the problems through management channels to:

U.S. Postal Service Headquarters
Directives & Forms Division
Attention: ELM
Washington, DC 20260

P. J. Skelly
Director
Office of Management Services

U.S. POSTAL SERVICE
Washington, DC 20260

A. PURPOSE

This manual sets forth the personnel policies and regulations governing employment with the U.S. Postal Service. Topics include organization management, job evaluation, employment and placement, pay administration, employee benefits, employee relations, training, safety and health, and labor relations. This manual is the primary reference source for postal managers responsible for administering postal policies concerning employee and labor relations.

B. DISTRIBUTION

1. Criterion. The distribution of this manual is restricted to (a) post offices and other facilities with designated personnel functions and (b) units responsible for implementing USPS employee and labor relations policy.

2. Post Offices. Copies of this manual are mailed directly to postmasters. The quantity for each office is based on its CAG designation, as follows:

Authorized holders of ELM	Post Offices by Cost Ascertainment Group (CAG)					
	CAG A	CAG B	CAG C, D & E	CAG F & G	CAG H & J	CAG K & L *
Total	Quantity determined by each office	6 copies	4 copies	2 copies	1 copy	No copies authorized
Postmaster		x	x	x	x	
Customer Services		x				
Mail Processing		x	x			
Finance		x	x			
Employee & Labor Relations		x				
Personnel Manager		x	x			
Lead Supervisor				x		

* CAG K & L post offices do not receive copies of this manual. Management sectional centers furnish functional guidance to their associate offices.
Stations and branches do not receive copies of this manual. Postmasters provide functional guidance to these facilities.

3. Other Installations. Copies of this manual are mailed directly to the facilities listed below:

Facility	**Quantity**	**Facility**	**Quantity**
Area Maintenance Offices	1	Postal Employee Development Centers (PEDCs)	1
Automatic Data Processing Centers (ADPC's)	4	Postal Services Centers	1
Bulk Mail Centers	4	PST & DI	
Districts	4	Bethesda	28
Inspectors in Charge	varies	East Coast Field Center	12
Mail Equipment Shops	1	Midwest Field Center	12
Management Sectional Centers	4	Southern Field Center	14
Maintenance Capable Offices	1	West Coast Field Center	12
Maintenance Technical Support Center	3	Oklahoma (Technical Center)	12
Mailbag Repair Centers and Depositories	1	Regional Administration Branches	*
Mechanization Overhaul Centers	1	Regional Chief Inspector	varies
Money Order Division	1	Stamped Envelope Agency	1
Postal Data Centers (PDCs)	6	Transportation Management Offices	1
Procurement Services Offices	1	Vehicle Maintenance Facilities	1
Personnel Services Centers	6		

* Each regional administration branch receives enough copies to redistribute 1 copy to each manager at and above the division level.

C. MANUAL MAINTENANCE

1. Responsibility. All facilities receiving copies of the ELM are responsible for insuring that each manual is current. Specifically:

a. Each postmaster or installation head must designate a *directives distribution liaison (DDL)* to distribute copies within the facility and to maintain distribution records.

b. Future *transmittal letters (TLs)* must be filed promptly so that each manual will have the most up-to-date information.

2. Distribution Record. The directives distribution liaison must prepare a distribution record containing the data indicated in the exhibit. If additional copies of this manual are requisitioned and received, the distribution record must be updated. To assure correct distribution of future transmittal letters, the distribution record must always be accurate. It must always indicate the number of copies on hand at each facility and the title of the recipient of each copy.

a. Total quantity received.
b. Title of each recipient.
c. Quantity held by each recipient

Distribution Record Data

D. REQUISITIONS

1. Missing Copies. If you do not receive the quantity specified for your facility (see B-2 and B-3), order the missing copies on Form 1286-A, *Publication Order Blank*. Send the Form 1286-A directly to the Eastern Area Supply Center. Note:

a. Use Form 1286-A only to order missing copies. Do *not* use Form 1286-A if you want to change your distribution amount (i.e., change the mailing list).

b. The Eastern Area Supply Center will honor requests for missing copies of TL-1 of the ELM until July 1, 1978. Order any missing copies before that deadline.

2. Distribution Change. Increasing your authorized distribution quantity of this manual requires a change to the mailing list. For that you must use Form 1286, *Request for Postal Publications*. Submit the Form 1286 to the Directives and Forms Division in Headquarters. Each Form 1286 must:

a. Specify the number of copies on hand at the facility.
b. Specify the intended recipient (i.e., the position/function requiring the manual).
c. Explain the reason the manual is needed.
d. Bear the signature of the postmaster, installation head, or designee (i.e., the endorsed "Directives Liaison" or "Supply Clerk").

E. SALE TO PUBLIC

This manual is available to the public on a subscription basis through:

Superintendent of Documents
Government Printing Office
Washington, DC 20402

F. ISSUANCES RESCINDED

1. Directives.

The directives listed below are rescinded by this manual. Do not take any action based on information contained in rescinded directives. Destroy all copies of the following directives:

a. Postal Service Manual (PSM)—Chapter 4.
b. Postal Manual (PM)—Chapter 7 (*except* those portions pertaining to pay administration for bargaining unit employees and to leave)
c. Handbook P-9, The Exit Interview
d. Publication 182, The Job Evaluation Program
e. Publication 183, Merit Performance Evaluation (PES System)
f. Publication 194, Guide to Promotion and Reassignment
g. Regional Instructions appearing in the table below.

File No.	Sequence No.	Title
712-1	803-P-154	Assignment or Promotion to the Position Electronics Technical Trainee (Bulk Mail) SP 6-84, PS-7
712-3	643-P-100	Appointment of Postmaster at Fourth-Class Post Office
713	833-P-162	Examination Network
714	(1006-P-207)	Assignment of Non-Bargaining Unit Employees in Regional Headquarters and Related Offices
715	839-P-164	Selection Method for Postal System Examiners
719	862-P-170	Changes Involving Letter Sorting Machine Operations
721	926-P-187	Work Clothes Allowance for Supervisors
	930-P-190	Amendment #1
	945-P-193	Amendment #2
722	937-P-191	Unemployment Compensation Program
731	721-P-124	Forms for Training Requests
	820-P-159	Amendment #1
732	725-P-126	Establishment of Postal Service Training and Development Institute
733	952-P-194	Operating/Training Meetings for Postmasters
734	998-P-205	Headquarters/Field Interchange Program
	1034-P-213	Amendment #1
741	682-P-114	Guidelines for Functional Organization
	695-P-117	Amendment #1
743	953-P-195	Leave and Travel Expense Policies—Postmaster Organization
	999-P-202	Amendment #1
744	764-P-139	Procedural Changes and Amendments to Publication 182
	800-P-151	Amendment #1
	870-P-175	Amendment #2
745	789-P-148	Change of Positions in the Motor Vehicle Service
	801-P-152	Amendment #1
748	888-P-179	Postal Service Representation at Postmasters and Supervisors Meetings and Conventions
	891-P-180	Amendment #1
751	928-P-128	(Amend. #2) Salary Changes for Managerial and Related Employees
	993-P-203	(Amend. #3) Salary Changes for Certain Non-Bargaining Unit Employees
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753	796-P150	Grades Changes by Reorganization
754	929-P-189	Higher Level Details
755	864-P-172	Service Schedule Changes for Postmaster Supervising Less than 2 Employees
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757	919-P-184	Retroactive Pay Procedures for Certain Postmasters

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761	735-P-131	Treatment and Rehabilitation of Injured Employees
762	825-P-160	Problem Drinking and Alcoholism
763	830-P-161	Safety Instructions for Contractors Working on Postal Property
776-2	769-P-141	Service Awards—Retirement or Posthumous Recognition
791	1018-P-208	Personnel Actions in Connection with the Discontinuance and Consolidation of Post Offices

2. **Local Issuances.** Any local issuances based on the rescinded directives or any local issuances in conflict with this manual are also rescinded.

G. COMMENTS

Efforts were made to make this manual complete, well-organized, and easy-to-understand. If you cannot find or understand certain material or discover that topics were omited, prepare a memo outlining the problems. Send the memo through management channels to:

U.S. Postal Service Headquarters
General Manager
Directives and Forms Division
Attention: ELM
Washington, DC 20260

P. J. Skelly
Director
Office of Management Services

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Chapter 1

Organization Management

110 General Information

111 Purpose

111.1 The Office of Organization Management was established within USPS Headquarters to assist both field and Headquarters management in establishing new or revised organization structures and related staffing to meet the following USPS objectives:

a. Ensure no duplication of jobs, functions, or responsibilities within or between organization units.

b. Ensure consistency of organization structures and staffing within the USPS.

111.2 This chapter (a) documents the principles used to establish organization structures and staffing throughout the Postal Service, (b) describes the programs used to monitor and assess structures and staffing, (c) establishes guidelines, policies, and procedures for implementing changes in organization structures and staffing patterns, and (d) describes many factors to be considered in decisions related to organization changes. In view, however, of the functional diversity, varying work requirements, and wide range of operational circumstances throughout the Postal Service, factors are considered—and decisions are reached—on a case by case basis.

111.3 The organization management system does not operate on the basis of rigid or inflexible standards. Nevertheless, postal managers should be aware of the concepts applied in evaluating organization change requests so that they can:

a. Make decisions to request such changes on an informed basis.

b. Submit appropriate documentation in support of proposed changes.

c. Better understand the basis upon which their requests are reviewed and evaluated.

112 Responsibilities

112.1 *Headquarters.* The Office of Organization Management, within the Employee & Labor Relations Group in Headquarters, has overall responsibility for the control of organization structures and staffing for the entire Postal Service. This includes:

a. Developing and implementing organization management policies and programs for all Postal Service positions, both bargaining and non-bargaining.

b. Designing programs and procedures for auditing and assessing existing structures and staffing.

c. Providing a planning capability for the long range organizational development of the USPS in response to technological and environmental changes.

112.2 *Regions.* The compensation division of each Region has an organization management capability which:

a. Serves as an advisory resource to the Office of Organization Management on matters relating to field organizations.

b. Collects and analyzes data on field organizational units.

c. Monitors compliance with approved staffing and structures for field units.

d. Processes all requests for organization changes from field units, makes determinations about some requests, and submits others to the Office of Organization Management.

112.3 *Managers.* All levels of managers throughout the Postal Service are responsible for:

a. Planning and implementing administrative and operating methods which make full use of their existing organization structures and staffing.

b. Determining when changes are necessary and requesting such changes according to the instructions in this chapter.

113 Definitions

113.1 Organization Management Terms

a. *Activity*—A grouping of related, but not necessarily homogenous, tasks which may be performed by an employee or group of employees and results in an easily defined operation or service.

b. *Function*—a principal method of dividing work; may be a single activity, but is more commonly a group of related activities placed together under one responsibility. Functions are categorized as major or minor:

(*1*) *Major Function*—a grouping of activities which have a direct impact on the overall mission of the Postal Service.

(*2*) *Minor Function*—a grouping of specialized or narrow activities which have an indirect, contributory impact on the mission of the Postal Service.

c. *Organization Structure*—the formal relationship which (a) reflects the organizational units within a given grouping and the pattern of work to be accomplished by the employees in the organization (b) delineates responsibilities and reporting relationships, and (c) creates a rational division of work. The structure should respond to the needs of an organization and foster the achievement of its objectives and be changed when there is a basic change in the amount or kind of work to be done and in the assignment of the work to the positions involved.

d. Organizational Unit—an entity in which the necessary activities are divided into segments small enough to be managed or supervised by one person. An *autonomous unit* is a unit with its own finance number which operates under a manager with discretionary decision making responsibility. See also 113.3.

e. Program—a specialized continuing endeavor, consisting of a group of selected projects and activities related to one another within a major function.

f. Staffing—the numbers, types, and relationships of positions within organizations. Approved staffing is determined by staffing criteria—functional and/or quantitative standards which define the requirements for use of a position.

113.2 Documentation

a. Functional Statement—a concise definition of the functions or activities for which a given organizational unit is responsible. The functional statement for an organizational unit generally consists of one or two typewritten pages. See 163.32 for more detail.

b. Organization Charts—a chart which graphically represents an organization. See also 163.33. Charts may be categorized as follows:

(1) Basic Chart—a basic chart outlines a fundamental organization, without attempting to show every position in the organization. The majority of the charts in the *Organization Structures Manual* are of this type.

(2) Continuation Chart—a continuation chart extends the delineation of an organization structure in those situations where the basic organization is too large to be fully portrayed on one chart, the basic chart.

(3) Original Chart—an original chart is contained in the initial distribution of the *Organization Structures Manual;* or a chart of a new organization, issued after the initial release of the manual.

(4) Revised Chart—a revised chart is issued to update and/or correct an original chart. Each revised chart contains a unique identifier to reflect the most recent changes.

113.3 Employees and Positions

a. Position Title—identifies a job in the most meaningful and precise manner, including the unique qualities of the position and/or the level of progression in a particular occupational series.

b. Bargaining-Unit Position—A position covered by the terms and conditions of a collective bargaining agreement.

c. Non-Bargaining Unit Position—a position not covered under the terms and conditions of a collective bargaining agreement.

d. Full-Time Equivalent Bargaining Unit Employees—Full-time equivalent bargaining unit employees represent the conversion of part-time bargaining unit employee work hours to a full-time (or 40 hour work week) basis. For example, a station employing 20 full-time regulars and 10 part-time regulars (each assigned a 20 hour work week) would have 25 full-time equivalent employees.

e. Manager—one who plans, directs, guides, controls and evaluates employee efforts to achieve the goals of the organization.

f. Supervisor—one who has a direct responsibility for ensuring the accomplishment of work through the efforts of others.

113.4 Organizational Units

a. Group—an organizational unit in Headquarters that exercises managerial and directive control over several departments with responsibilities having service-wide impact.

b. Department—an organizational unit in Headquarters that exercises managerial and directive control over several heterogeneous major functions of service-wide impact.

c. Office—an organizational unit in Headquarters that manages two or more divisions and has major functional responsibility in support of a group or department.

d. Division—a service or staff unit in Headquarters and Regions that manages a major function or several minor functions in direct support of a department or office.

e. Branch—a service or staff unit in Headquarters and Regions that provides support to a department, office or division and exercises managerial authority over a minor function involving several specialized activities.

113.5 Facilities and Centers

a. Airport Mail Facility (AMF)—a postal facility located at an airport to receive, distribute, or dispatch mail that is transported by air.

b. Annex—a postal facility which is located away from the main office because of space restrictions or convenience and is involved in the distribution and/or delivery of mail in support of the main office.

c. Area Mail Processing Center—the consolidated processing of mail from associate offices at designated central processing facilities known as area mail processing centers; and/or city carrier and box section distribution of incoming mail for designated associate offices at area mail processing centers.

d. Associate Office—a post office managed by a postmaster reporting administratively to a management sectional center; a principal responsibility of an associate office is local delivery and the receipt and dispatch of all classes of mail.

e. Bulk Mail Center (BMC)—a highly mechanized distribution center designed for the processing of third and fourth class mail. Each bulk mail center is one component in a network which receives and distributes bulk mail to destinations in the United States and foreign countries.

f. District—a field unit which reports to the Regional Postmaster General and exercises managerial control over management sectional centers and other mail processing facilities within a defined geographic area.

g. Management Sectional Center (MSC)—a management unit, usually with area mail processing responsibility, to which associate offices within the assigned ZIP code areas report.

h. Postal Data Centers (PDCs)—computer facilities which process a major portion of the programmed systems necessary to administratively operate the USPS. There are four PDCs; they are located in New York, New York; St. Louis, Missouri; Minneapolis, Minnesota; and San Bruno, California.

i. Postal Employee Development Center (PEDC)—Postal Service field units that are designed to provide training and development services as required to all postal personnel in specified postal facilities on a continuing basis.

j. Procurement Services Office (PSO)—an office administratively responsible on a district or multi-district basis for small purchases, issuance of delivery orders against authorized contracts as well as blanket purchase arrangements, and basic ordering agreements. The PSO further plans and directs all contracting for supplies, services, equipment repairs, and building improvements and supervises the property and supply management program of the area encompassed.

k. Stations/Branches—units which transact registry and money order business, sell postage supplies, and accept matter for mailing; and when directed by the postmaster, provide delivery service, post office boxes, and other services. Stations/branches are generally named, but may be designated by number of letter. The distinction between the two units is that:

(*1*) Stations are established within the corporate limits or boundaries of the city, town, or village in which the main post office is located.

(*2*) Branches are located outside the boundaries of the city, town, or village.

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l. Transportation Management Office—a field office of the Regional Logistics Division responsible for the contract management, scheme preparation, and performance monitoring of all phases of contract transportation originating within the designated geographical area.

m. Transfer Office—a Postal Service unit, usually located at a principal postal truck terminal or airport where the transfer of mail between carriers is complicated, of considerable volume and requires supervision.

n. Truck Terminal—an installation where mail transported, or to be transported on highway mail routes is received, sorted and dispatched.

o. Vehicle Maintenance Facility—an installation that performs various types of vehicular maintenance on all classes of Postal vehicles.

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120 Monitoring and Assessment

121 Organization Management Staffing System (OMSS)

121.1 Explanation

.11 The Organization Management Staffing System (OMSS) is a computerized personnel compensation and allocation system that:

a. Satisfies management's need for timely and accurate information reflecting actual versus approved organizational characteristics, down to the smallest supervised unit in every postal installation.

b. Tracks the deployment of non-bargaining unit employees throughout the USPS.

c. Produces three reports on a biweekly base (see 121.2).

.12 By promptly alerting management to staffing irregularities, OMSS helps management take rapid corrective action. Other advantages of OMSS are that it:

a. Provides for the identification of payroll and administrative discrepancies.

b. Allows for staffing and structural comparisons between like facilities for the purpose of identifying inconsistencies.

c. Significantly reduces paperwork and clerical hours that otherwise would be required for manual generation of comparable data.

d. Creates a personnel action audit procedure as a by-product of the system's central purpose.

121.2 Reports Generated

.21 Management Organization Report. This report is a graphic display of the distribution of all authorized non-bargaining unit positions within the manager's span of control. It is a computer-generated organization chart which displays the structural arrangement of a postal facility (with the proper reporting relationships graphically depicted) and provides the following data:

a. Proper job title and occupation code.

b. Pay schedule and grade for each position.

c. The number of positions authorized for a given job title.

d. The date of the last change to the authorization for each listed position.

e. A unique location code for each position reflecting its functional assignment, operational placement, and reporting relationship.

.22 Management Staffing Report. This report is a sequenced print-out of authorized positions and the incumbents thereof with all exceptions to the approved staffing clearly indicated. It compares data of known value and quantity from the authorized structure and staffing plan with data extracted from current payroll tapes. In this way, discrepancies between the two sets of data can be readily detected. The report notes the following variances between *authorized* and *actual* in a *remarks* column:

a. Vacant positions

b. Overstaffed complements

c. Unauthorized positions
d. Invalid occupation codes

.23 Management Staffing Exception Report. This report is a detailed composite and summary of all exceptions revealed during a given reporting cycle. It (a) summarizes the organizational and compensation variances between authorized position and employee data, (b) identifies the variances in each Postal facility and statistically summarizes them at the MSC, District, and Regional levels, and (c) provides quick access to data necessary to evaluate organizational problems individually, by management unit, or comparatively between management units of varying sizes.

121.3 Administrative Responsibility

.31 Regional Compensation Divisions. Each Regional Compensation Division is responsible for (a) compiling and verifying the organization and staffing information for all postal facilities in its regions and (b) properly coding this information for entry into the OMSS data base.

.32 Office of Organization Management. The Office of Organization Management (a) is responsible for providing policy and procedural guidance, training, and technical support to the Regional Compensation Divisions in data collection, coding, and analysis and (b) acts as the coordinating agent with the Headquarters Management Information Systems Department.

.33 Postal Data Centers (PDCs). In support of OMSS, the PDCs are responsible for (a) furnishing and processing current payroll tapes, the occupation code master, and the installation master and (b) processing all coded data and generating the reports.

122 Organization, Staffing, and Position Review Program

122.1 Explanation. The Organization, Staffing, and Position Review Program satisfies management's responsibility to systematically assess established work structures and organization designs. The overall purpose of the program is to assure that the allocation of approved positions and the deployment of personnel reflects the most effective use of human resources. Specific objectives are to:

a. Determine how well uniformity in organization structures and position utilization throughout the Postal Service has been achieved.

b. Determine the adequacy of position descriptions utilized in the organizational unit.

c. Assess the effectiveness of approved staffing and structure.

d. Identify the informal organization and determine its relationship to the formal structure.

e. Evaluate staff interaction in a unit or facility to determine if:

(*1*) Approved organization structures have been implemented.

(*2*) Authorized positions are functioning as intended.

(*3*) Weaknesses exist in the approved organization structure and/or position utilization.

(*4*) Timely action is taken whenever unauthorized positions are found to exist.

f. Determine if overlapping duties and responsibilities exist within the unit.

g. Determine if structural or staffing designs leave essential work inadequately supported.

122.2 Scope. The facilities to be reviewed are selected by a combination of random and judgment sampling procedures so as to include specific problem areas. Positions to be reviewed include those functional areas which have been identified by a Region and/or Headquarters as problematical. Generally, only non-bargaining unit positions are reviewed; however exceptions may be made for special cases, as postal data centers.

122.3 Responsibility. Operating responsibility for the program is shared by the Office of Organization Management, the Office of Operating Policies, and the Job Evaluation Division in the Office of Compensation. Reviews are conducted by personnel assigned to the three responsible units and supported by designated Regional staff as necessary.

122.4 Findings. The review team collects data by conducting interviews with non-bargaining unit employees assigned to the selected unit. The information elicited must be consistent with the program objectives (see 122.1). The intent of individual position review is to analyze each position for its applicability to the approved structure—not to evaluate position grades. The review team presents its findings to the Director, Office of Organization Management who is responsible for:

a. Determining distribution of the findings.
b. Recommending follow-up action as appropriate.

130 Organization Structures

131 Organization Structures Manual

131.1 Purpose. The *Organization Structure Manual* (a) outlines the major organization structures within the USPS; (b) reflects the lines of communication, functional authority, and responsibility among regional headquarters and the subordinate organizations as well as the relationship of these organizations to counterpart units at Headquarters in Washington, D.C.; and (c) provides the postal manager a picture of organization structures throughout the USPS. There may be substantial differences between similar postal units due to local conditions, such as extent of mechanization. Therefore, the manual should, be used only as a reference document showing how major postal units are structured—not as a personnel staffing guide.

131.2 Scope. The *Organization Structures Manual* is organized in six parts—one part for Headquarters units and one part for each of the five regions (Northeast, Eastern, Central, Southern and Western):

a. The National Headquarters section includes all organizations within the Washington, D.C. Headquarters, including administrative supporting facilities, such as postal data centers.

b. Each regional section in the manual includes the Regional Headquarters units as well as representative district offices, management sectional centers, bulk mail centers and large associate offices.

131.3 Responsibility. The Office of Organization Management is responsible (a) for the contents of the *Organization Structures Manual*—including additions, deletions, or modifications and (b) for the physical distribution of the Organization Structures Manual, including *add, change,* and *delete* transmittals.

131.4 Authorized Holders. Distribution of the *Organization Structures Manual* is limited to an approved list of offices in the national and regional headquarters. Changes to the list of authorized holders are made by the Office of Organization Management.

132 Types of Structures

132.1 Explanation

Due to the functional diversity of the U.S. Postal Service, there is often a sound basis for differences in organization structures and staffing requirements. Some units need to be uniquely designed because of their specialized nature. Units which perform essentially identical functions can be structured and staffed according to established standard criteria.

132.2 Standard Structures

.21 Characteristics

.211 Organizational units within a defined category generally have standard structures if they share characteristics such as:

a. Performance of identical functions
b. Involvement in field operations
c. Simplicity of structure
d. Adaptability to change in modular increments
e. Equal number of management layers
f. Staffed with equivalent grade levels

.212 Staffing (i.e., number and kinds of positions) may vary in standard structures on the basis of such considerations as volume and level of activity. Functional areas and reporting relationships within a single category are, however, the same from one installation to the next. Examples of standard structures in the Postal Service are: classified stations and branches, associate offices, management sectional centers, transportation management offices, and bulk mail centers.

.22 Staffing Criteria

.221 The volume and type of work are the primary determinants of authorized staffing. Standard structures of comparable size and level of activity which fall within a designated category (i.e., management sectional center IV; postmaster grade 22 associate office; etc.) can often be staffed uniformly above the first level of supervision—based upon the functional work that must be performed.

.222 The development of staffing criteria is the responsibility of the Office of Organization Management, which uses relevant work load activity indicators in each functional area as an analytical base.

.223 An example of staffing criteria for a station or branch with a minimum of 30 delivery routes and 50 full time equivalent bargaining unit employees is the authorization of two supervisory positions.

.224 Authority for determining position usage in the case of first line *mail processing* and *delivery services* supervisors in field units may be delegated by Regional Postmasters General to district managers when an *indeterminate number of such positions have been authorized* because of variations in work load or bargaining unit complement.

.225 Circumstances may justify staffing variations in standard structures above the first level of supervision. Such variations occur when the work load associated with specialized functions fluctuates widely among organizational units within a standard structures category. In such event the Office of Organization Management will develop explicit criteria for position usage.

.23 Staffing Matrices

A staffing matrix reflects the application of staffing criteria to standard structures in variable size categories. The matrix shows the type and number of positions authorized in designated organizational categories (i.e., MSC III, MSC IV, etc.). A staffing matrix generally deals with positions within a single job series, for example, industrial engineering or accounting. A matrix may, however, be developed covering authorized staffing in two or more job series within a given functional area. An example of the industrial engineering and support staffing matrix for a management sectional center VI appears below:

Position	**PES Grade**	**Minimum**	**Maximum**
Industrial Engineering Principal Coordinator, SC VI*	23	0	1
Industrial Engineering Coordinator, SC VI	23	0	1
Industrial Engineer	21	1	2
Postal Operations Specialist, Senior	18	1	2
Postal Operations Specialist	17	0	1
Postal Operations Analyst	16	1	1
Postal Operations Associate	15	1	2
TOTAL		4	10

*Only one per district. Both Principal Coordinator and Coordinator not applicable in the same management sectional center.

.24 Standard Structures Reference Manuals

The standard structure reference manuals listed below were developed by the Office of Organization Management to show authorized structure and staffing in various organizational categories. Additional manuals will be developed, as appropriate, whenever a major realignment is implemented.

a. Sectional Center II (September 1975)
b. Sectional Center III (3 division) (March 1974)
c. Sectional Center III (4 division) (March 1974)
d. Sectional Center IV (3 division) (March 1974)
e. Sectional Center IV (4 division) (March 1974)
f. Sectional Center V (March 1974)
g. Sectional Center VI (March 1974)
h. Associate Offices Postmaster Grades 17-24 (March 1975)
i. Type G, Type H Associate Offices (July 1975)
j. District Manager/Postmaster B (May 1974)
k. District Manager/Postmaster C (May 1974)
l. Carrier Stations or Branches, Manager Grades 14-20 (September 1975)
m. Transportation Management Offices (A-C) (April 1977)
n. Bulk Mail Centers (excluding New York and Chicago) (July 1977)

132.3 Differentiated Structures

.31 Differentiated structures must be individually organized based upon operational requirements that separate such units from other organizations in the USPS. A differentiated structure is generally characterized by one or more of the below conditions:

a. Uniquely complex (and normally large) because of service requirements and scope of operations.

b. Highly specialized in terms of functional capabilities.

c. Situated in a specialized operating environment (geographic, cultural, or otherwise).

.32 The central organizational thrust of the Postal Service is to standardize structures insofar as possible. When circumstances require organizational adaptation to special operating conditions or service requirements, it is appropriate to make the necessary allowances in terms of structure and staffing.

.33 Examples of differentiated structures are:
a. Automated Data Processing Centers (ADPCs)
b. Repair Shops
c. Los Angeles Test Center
d. Postal Service Training and Development Institute (PST&DI)
e. New York International and Bulk Mail Center

133 Organization Structuring Principles

The principles of an effective organization structure are listed below:

a. Each position should be tailored to be within the capacities of a single individual.

b. Each position should be subject to line authority of only one higher position.

c. Each position should be clearly defined in terms of objectives and measureable contribution.

d. All related activities necessary to hold an incumbent accountable for achieving the objectives should be assigned to each position.

e. Duties and authority should be definitely fixed and authority should correspond with responsibility.

f. The organizational plan should be developed within the manpower constraints that can be realistically projected.

g. The organizational plan should provide for the control of all work necessary to achieve mandated objectives.

h. Responsibility for current and long-range work should be clearly segregated.

i. Positions should be classified and grouped so as to avoid either gaps or overlaps in work and/or functions.

j. Managerial work should be differentiated from functional contribution and the two should not normally be designed into the same position. When they are combined, the percentage of time to be spent on managerial work should be so stated.

k. The span of control should be neither so broad as to exceed the manager's capacity to effectively manage and integrate nor so narrow as to preclude adequate delegation.

l. The chain of delegation should be short enough to minimize the vertical filtering of communications.

m. Related activities should be integrated at the lowest level consistent with the attainment of objectives, economical use of personnel and the assignment of responsibility.

n. To the extent possible, future work requirements should be anticipated in the organizational design in order to avoid the need for frequent reorganizations.

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140 Organization Change Criteria

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141 Workload Increase or Decrease

141.1 When the volume of work increases so that the existing organization can no longer effectively complete it according to accepted performance standards, organizational change may be justified. Workload increases may involve either of the following organization changes:

a. Added layers of supervision to maintain an appropriate span of control. Example: authorization of a Manager of Distribution to whom the Director, Mail Processing would delegate responsibility for supervising a three tour operation.

b. Added supervision within an authorized layer already existing in the organization. Example: authorization of an additional General Supervisor, Mails under justifiable circumstances.

141.2 When the volume of work drops off to the point where the existing resources of the organization become underutilized, a reduction in authorized staffing may be justified.

142 Change in Nature of Work

The requirements placed upon an organization may involve the addition or elimination of specialized functions within an authorized scope of activity. When such functions are either added to, or subtracted from, an established structure, the organization may need to be modified to reflect such changes.

143 Duplication of Functional Responsibility

When two or more units within an organization are responsible for accomplishing essentially the same work, (a) accountability for performance is difficult to fix and unnecessary costs are incurred and (b) the units may be working at cross purposes. Consolidation of overlapping functions is normally the appropriate remedy.

144 Inappropriate Reporting Relationships

144.1 Hierarchy of Responsibility

The tasks assigned to a subordinate unit or position within an organization should be reflected within the broader scope of responsibility of the next higher level of management. It is inappropriate to retain a reporting relationship in which the work of the subordinate unit or position bears no relevance to the functional responsibilities of the management level under which the unit or position is organizationally located.

144.2 Contingent Work Relationships

When a high level of interdependence between two organizational functions makes the performance of one unit contingent upon the performance of another, both units usually have a common reporting relationship. In this way responsibility is clearly fixed for ensuring the two functions are properly coordinated. When highly interdependent functions report to different control points in the organization, it may be necessary to restructure the reporting relationships.

145 Unconnected Work

Common activities and tasks requiring similar supervisory or technical skill for effective performance should be grouped within an organization unit or position description. When activities and tasks become too highly differentiated within a unit or position, it may be necessary to separate them into discrete functions.

146 Inappropriate Span of Control

146.1 The complexity of a management function is to be a governing factor in establishing an appropriate span of control. When subordinates are performing similar tasks, the span of control can be broader than when subordinate functions are only loosely related.

146.2 Rarely, if ever, can a one-over-one reporting relationship be justified since such an arrangement tends to dilute the responsibility and accountability of the principal manager.

146.3 When the span is so narrow that delegation is impaired and subordinate supervisors are limited in the use of initiative and judgment, it should be broadened.

146.4 Similarly, when the span is so broad that subordinates are not receiving the proper degree of management, it should be narrowed to ensure closer supervisory guidance.

146.5 It is not practical to prescribe upper or lower limits to the span of control in a general context. Each organizational situation must be separately analyzed.

147 Change of Basic Mission

Sometimes the mission of an organization changes so basically that the existing structure and staffing become inadequate. Under such circumstances, a major reassessment of existing functional responsibilities and capabilities is required.

148 Reduction of Expenses

A comparison of work requirements with authorized staffing may reveal inefficiencies. Astute management seeks to consolidate duties and responsibilities whenever staffing resources are being underutilized. The objective in all such cases is to achieve operating economies with no adverse effect upon the performance of the organizational unit.

149 Completion of Transition

Organizations that have been designed around new and complex systems often move through a start-up phase prior to becoming fully operational. Note:

a. During the start-up phase, staffing requirements may differ from projected operating norms due to specialized activation programs and related activities.

b. When possible, temporary elements of a start-up operation should be identified beforehand, so that the work can be performed by an employee assigned on detail.

c. When the organization achieves operating stability, it is appropriate to reassess the initial structure and staffing, and adjust as appropriate.

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150 Organization Change Analysis

151 Analysis of Work Requirements

151.1 Nature of Functions

.11 This analysis involves the separation of the total work of the organization into functional components. Each functional component should represent an aggregate of duties that logically falls within the scope of a single position description (i.e., involves like kinds of skills, knowledge, and abilities).

.12 The attempt at this stage is not to establish detailed position requirements but rather to focus on the manner in which work can be organizationally segmented and subsequently assigned to major functional reporting or control points within the unit.

151.2 Volume of Work

.21 Work volume can be translated into the number of employees required to supervise its processing by using conversion factors appropriate for the activity involved. Whenever possible, volume is expressed quantitatively and derived from historical data coupled with economic forecasts and other relevant projections.

.22 Work volume is analyzed for its impact on staffing requirements in supporting functions, as well as on the principal areas of operating activity.

151.3 Performance Standards

.31 The required supervisory and professional resources of an organization are, in some measure, contingent upon the performance standards the unit is expected to meet. Performance standards may be explicitly mandated on a service-wide basis; for example, 95% overnight delivery of local originating mail. Often, however, the performance standards of an organizational unit are determined locally based upon past performance and an assessment of improvement opportunities. It is a continuing responsibility of the unit manager to establish organizational standards of performance through the goal-setting and planning process.

.32 Both the quantity and quality of production impact staffing requirements and should be factored into the design of the organization.

152 Analysis of Skill Requirements

152.1 Skill requirements serve a dual purpose by (a) establishing the data base for the construction of selection criteria and (b) placing a clearer focus around certain organizational planning requirements. Chief among these requirements is the development of a hierarchical management structure for the organization that is internally consistent and compatible with structures in other postal installations.

152.2 In order to fix responsibility for functional work, it is necessary to assign specific duties to designated staff positions. Form 6802-X, *Request for Job Evaluation Action*, is used for this purpose. (See Chapter 2, *Job Evaluation*, for detailed instructions for preparing Form 6802-X.)

152.3 In establishing the requirements of the position, the necessary job-related skills and experience must be analyzed to identify structural implications. The starting point in this process is a definition of job content.

152.4 Section III of Form 6802-X outlines in detail the duties the incumbent has to perform. Suggestive in the description of each duty are the skills required for its effective execution. Action words used in describing the depth of involvement and the degree of responsibility help to differentiate the level of skill, knowledge, and ability required to ensure effective performance in the designated position. Terms such as *directs, manages, supervises, oversees, plans,* and *coordinates,* convey definite meanings which can be associated with required skill levels.

152.5 Similarly, Sections I, II, and VI of Form 6802-X dealing with function and purpose, scope of responsibility, and the degree of supervision required convey meanings which help to interpret skill requirements.

152.6 Section IV of Form 6802-X, Requirements for Position, is based upon an analysis of job content and connects the purpose, responsibility and duties of the position to the educational disciplines, work experience, physical capacities, and job related skills expected of the incumbent. Note:

a. Section IV of Form 6802-X and the corresponding section on the Standard Position Description should *not* be used as selection criteria.

b. Selection procedures and criteria for all field positions are provided by the Employment and Placement Division, Office of Human Resources, Employee Relations Department, through the issuance of (1) a Qualification Standard or (2) interim statements of qualifications or selection procedures.

153 Analysis of Functional Relationships

153.1 Basic Factors

The identification of work and skill requirements provide the basis for determining staffing needs. The configuration of the organization must then be analyzed to ensure that functional alignments and reporting relationships are appropriate to the unit's mission. Criteria used in making such a determination are identified in subchapter 140. The more important criteria are repeated below:

a. Functional statements and standard position descriptions (including Forms 6802-X) are reviewed to eliminate duplication of responsibility between sub-units of the organization as discussed in part 143. Where such duplication is found to exist, functional responsibility should be assigned to the sub-unit having dominant interests in the activity under review.

b. Functional activity should be grouped to assure homogeneity of work as discussed in part 145.

c. Span of control should be established consistent with the guidelines discussed in part 146.

d. Vertical reporting relationships should establish a hierarchy of responsibility consistent with the guidelines discussed in section 144.1.

e. Contingent work relationships should be aligned consistent with the concepts discussed in section 144.2.

153.2 Additional Factors

.21 Administrative and Functional Reporting Relationships

.211 An *administrative* reporting relationship establishes a clear line of authority between positions or units in the organizational hierarchy. The actions of the subordinate are subject to the direction and/or approval of the next higher level of management, irrespective of the autonomy the latter may choose to grant to, or withhold from, subordinate levels. *Subordinate positions never report administratively to more than one higher level supervisor.*

.212 A *functional* reporting relationship establishes a connection between positions or organizational units at different management levels based on the specialized nature of the function for which a mutual responsibility is shared. In this type of situation—often referred to as an indirect reporting relationship—the higher level position or unit provides functional guidance and support to positions or units lower in the organizational structure.

.213 The Employee & Labor Relations Group at Headquarters, for example, has functional responsibility for the regional employee and labor relations departments, whereas these departments report administratively and directly to the Regional Postmasters General. There is no formal line of authority in a strictly functional relationship.

.214 The administrative head of an organization integrates all unit activities through the exercise of organizational authority. Detailed functional expertise is usually located immediately below this level of management, where administrative authority and functional direction are joined.

.215 Sometimes, however, it is necessary to separate administrative and functional reporting relationships. A separate functional reporting relationship might be justified when:

a. The knowledge essential to effective performance is so specialized that the function can only be positioned in the higher levels of the organization (e.g., the USPS Medical Program).

b. The consequences of an incorrect decision are so great as to require continuing consultation with a higher organizational level having policy responsibility for the functional area in question (e.g., international mail).

c. The sensitivity of the function requires total uniformity of execution throughout the entire management system (e.g., labor relations or procurement).

.216 Organizational relationships are analyzed in terms of the adequacy of functional direction. Where appropriate, functional reporting relationships can be formally established that organizationally sanction channels of communication not reflected in the administrative structure.

.22 Line and Staff Relationships

.221 Whereas line relationships are based upon the exercise of organizational authority, staff relationships are founded on the exercise of organizational influence and the authority of knowledge. While line managers are empowered to make operating decisions, staff personnel act in an advisory role. Line managers report administratively to the next higher level of management. Staff managers report administratively to line or staff management and often functionally to another level of management outside and, sometimes, above the unit structure.

.222 Staff functions are analyzed on the basis of the following criteria:

a. *Appropriate placement within the structure.* If the reporting point is too low in the structure, the exercise of influence is impaired.

b. *Extent of need.* Functional expertise may be readily accessible to line management outside the immediate structure obviating the need for redundant internal staff.

.23 Responsibility and Authority

A cardinal rule in organization planning requires authority to be commensurate with responsibility. Managers cannot be held fully accountable for results over which they have limited control. Reporting relationships are analyzed to uncover any organizational defects that:

a. Place authority at one or more levels above the designated level of responsibility.

b. Place essential organizational resources outside the managerial control of the manager who needs them most and who should be accountable for their utilization.

c. Grant overlapping authority to two or more positions or units that could lead to jurisdictional conflicts.

154 Identification of Discrepancies

154.1 The analysis described in parts 151-153 provides a basis for the design of an organizational model:

a. The analysis of work and skill requirements helps to determine what organizational resources are needed.

b. The analysis of reporting relationships helps to arrange the resources into a functional structure.

154.2 If the existing organization is matched against the model, structural and staffing discrepancies can be identified. The discrepancies become the focal points for organizational change—if further analysis confirms the need to modify the existing structure or staffing plan.

155 Corrective Alternatives

155.1 The analysis could show that the existing organization corresponds to the developed model. If the organization is basically sound, the structure and staffing should be left intact, and the search for a solution to management problems should focus elsewhere. Frequently, root causes of organizational inefficiency can be traced to one or more of the management systems identified below:

a. Training policies and programs.
b. Goal setting and planning processes.
c. Recruitment and selection standards.
d. Methods and procedures.
e. Management controls and feedback systems.
f. Management communication.

155.2 If the organization suffers defects in any of the above systems, structural or staffing changes are not likely to serve a corrective purpose. Root causes must be more directly addressed through actions that may be totally unrelated to organizational factors.

160 Organization Change Process

161 Overview

Proposed organization changes are classified as minor or major. Organization change requests can originate at any level of postal management. In practice, however, a formal request is usually initiated by an installation head and submitted through administrative channels to the approval authority. As a matter of course, all such requests should be discussed on an informal basis with appropriate higher level management before being officially submitted. The approval authority depends on the nature and magnitude of the proposed change and may be either (a) the General Manager, Regional Compensation Division or (b) the Director, Office of Organization Management at Headquarters (see 162.2 and 163.2).

162 Minor Organization Changes

162.1 Explanation

.11 For field installations, minor organization changes are those involving the addition, modification, or deletion of one or more positions below the third level of management within an approved organization structure. *Note:* A change in the number of first line supervisors in mail processing and delivery services does not constitute an organization change within the intended meaning of this Chapter. Authority to determine position use in these job categories is clarified in 132.224.

.12 For Headquarters, administrative reporting facilities, and regional units, minor organization changes are those involving the addition, modification, or deletion of one or more positions within the existing structure, the effect of which will not significantly alter the approved structure. Minor organization changes do not require a modification of the unit's functional statement.

162.2 Approval Authority

.21 Regional authority to approve minor organization changes is limited only to the extent that variations in position use violate the requirement for consistency in organization structures and staffing on a national basis.

.22 Under one or more of the following circumstances, a minor organization change may be authorized by the General Manager, Regional Compensation Division:

a. Established staffing criteria or a staffing matrix allows for usage of the position.

b. The position appears in the standard structure and its use varies in a direct ratio to work volume [e.g., personnel assistants (A)].

c. Deletion of a position does not subtract from an existing functional requirement.

.23 Minor organization change requests involving (a) a modification of job content, e.g., creation of a new Standard Position Description, (b) a change in reporting relationships, e.g., structural modification or (c) a change in functional activity can be approved only at the Headquarters level.

162.3 Documenting Requests

Requests involving a minor organization change must be documented as follows:

a. *Addition.* If the position requested is exactly the same as an existing position, provide a letter containing appropriate justification for the addition.

b. *Modification.* If the position requested is a modification of an existing position, provide (1) a completed Form 6802-X and (2) a cover letter justifying the modification.

c. *Reversion.* If the position is requested in lieu of an authorized position, provide information about the position being reverted in a letter justifying the reversion. (If it is a bargaining-unit position, provide the key, standard, or individual position number of the position.)

162.4 Submitting Requests

.41 From Field Units. Field units forward requests with appropriate documentation (see 162.3) through administrative channels to the General Manager, Regional Compensation Division. The successive concurrence of each higher level of management is required before the Regional Compensation Division will act upon the request.

.42 From Headquarters Units. Requests for minor changes originating in Headquarters or Headquarters-related units are documented (see 162.3) and forwarded to the Office of Organization Management through the functionally responsible Assistant Postmaster General.

162.5 Review and Authorization

.51 Regional Compensation Division (RCD)

.511 Upon receipt of the change request, the Regional Compensation Division examines the justifying data for completeness and collects any additional data as necessary:

a. If there are questions concerning use of the position, managers concerned with the function are consulted.

b. If the request concerns a bargaining-unit position, the file is sent to regional labor relations to ensure that the proposed action is consistent with the provisions of the *National Agreement*.

.512 If the data is complete and the request is limited to the conditions in 162.22, the Regional Compensation Division analyzes the request and makes a determination:

a. *Approved Requests.* Region issues a Memorandum of Authorization to fill the position.

b. *Denied Requests.* Region notifies initiating manager of reasons for denial.

.513 If the change request exceeds the conditions in 162.22, the Regional Compensation Division forwards the request to the Office of Organization Management in Headquarters.

.52 Office of Organization Management

.521 The Office of Organization Management reviews requests for minor organization changes by:

a. Analyzing the Form 6802-X and the justification submitted by the initiating office.

b. Considering independently-assembled data, including the views of Headquarters management functionally associated with the proposed change.

.522 If the Office of Organization Management approves the request, it submits the request to the Office of Compensation.

.523 If the Office of Organization Management denies the request, it promptly informs the initiating management of the reasons for the denial through appropriate administrative channels.

.53 Office of Compensation

The Job Evaluation Division in the Office of Compensation decides if the proposed position can be matched to an existing standard position description (SPD):

a. If the position can be matched, the Job Evaluation Division authorizes an existing standard position.

b. If the position cannot be matched, the Job Evaluation Division (1) evaluates the position which includes assigning a grade, position title, and occupation code to the position and (2) prepares a Memorandum of Authorization. (Note: New positions may be filled with the concurrence of the Office of Organization Management upon release of the Memorandum of Authorization.)

162.6 Higher Level Review

.61 An initiating manager who does not accept the reasons given for the denial may appeal the decision by:

a. Directly submitting a written request for higher level review to the Regional Postmaster General.

b. Providing written copies of the request to the next higher administrative level of management and to the general manager, regional compensation division.

.62 Upon notification of a request for higher level review, the regional compensation division submits the relevant file to the Regional Postmaster General.

163 Major Organization Changes

163.1 Explanation

.11 Major organizational changes in field units are those involving any of the following:

a. The establishment or elimination of an autonomous organizational unit—for example, a transportation management office.

b. The addition, modification, or deletion of a major function within an autonomous unit, such as mail processing, customer services, finance, or employee and labor relations.

c. The addition, modification, or deletion of a third level or above management position in a major function, such as a manager of distribution.

.12 Major organizational changes in Regional Headquarters, Headquarters, or administrative supporting facilities significantly alter the approved structure of the existing organization. All such changes must be reflected in the unit's functional statement.

163.2 Approval Authority

The approval authority for all major organizational changes is the Office of Organization Management at Headquarters. Requests originating with operating field units, districts, and regional staff are forwarded to the Office of Organization Management through the Regional Compensation Division.

163.3 Documenting Requests

.31 General Requirements

All requests involving a major organization change must include the following documentation:

a. A cover letter clarifying the purpose of the change, including anticipated benefits and associated costs (if any). Concurrence letters from successively higher levels of management should be attached. Evaluative comments are encouraged in the preparation of the concurrences.

b. A revised functional statement for the organizational unit (and each affected sub-unit, as applicable) reflecting the proposed change(s).

c. A completed Form 6802-X for each new position requested and each existing position that will be substantially affected.

d. An organization chart showing the *current* organization in terms of structure, tours, reporting relationships, numbers and kinds of positions, titles, grades and occupation codes.

e. Current and proposed staffing in terms of numbers and kinds of positions, including titles and known occupation codes and suggested grades.

f. An organizational chart showing the *proposed* organization in terms of structure, tours, reporting relationships, numbers and kinds of positions, titles, and known occupation codes and grades.

g. A current Form 1832, *Employee Complement and Organization Data* (applicable only to post offices).

h. Supporting justification keyed to the organization change criteria in subchapter 140 which is to be recorded on Form 2501, *Major Organization Change Justification,* (see Exhibit 163.31). The purpose of this form is to link the justifying data to the criteria against which the request is evaluated.

.32 Functional Statements

.321 A functional statement establishes the charter for the organizational unit. Exhibit 163.32, a functional statement for the Office of Organization Management is provided as an example. A functional statement should reflect:

a. The major areas of unit responsibility.

b. Sub-functions consistent with, and supportive of, the defined functional responsibility of the next higher administrative unit.

c. Organizational priorities to guide the unit manager in the planning and goal setting process.

.322 The degree of specificity in the content of a functional statement is dependent upon the unit's hierarchical placement. The functional statement for a group or department covers broad policy responsibilities, whereas that for a division reflects programs and activities designed to execute policies established at the higher organizational levels.

.323 Any time a significant function is added to, or subtracted from, an organizational unit, the existing functional statement should be revised to reflect the change.

.33 Organization Charts

.331 *Authorized Charts.* The organization chart is the principal end product of an organizational analysis. All unit responsibilities shown in the functional statement should be structurally supported by one or more organizational subunits or positions to which the functions can be logically assigned. Note:

a. Authorized organization charts released by the Office of Organization Management differ in the level of detail from those submitted for review.

b. See Exhibit 163.331 for an example of an authorized chart.

.332 *Chart Proposals.* Chart proposals are organization charts submitted to the Office of Organization Management for review and authorization. See the five pages of Exhibit 163.332 for examples of chart proposals. Guidelines for preparing chart proposals appear below:

a. Follow the principles and guidelines in part 153 to establish the proposed structure.

b. Use a vertical format and show the unit manager's position at the top and successively lower layers positioned beneath.

c. Depict positions in the second layer of management, which report directly to the unit manager on an equal level to accurately reflect peer status.

d. Use solid lines to reflect administrative reporting relationships only. Do not show (1) functional relationships which differ from the administrative reporting channels or (2) informal lines of communication.

e. Show only non-bargaining unit positions on the chart. (Supplementary information on bargaining unit employees supervised is, however, relevant in evaluating the position grade.)

f. When more than one identical position is proposed, show the number being requested in the appropriate block.

g. If the requested position is listed in Handbook P-4, *Standard Position Descriptions*, show the title, grade and occupation code in the appropriate block on the proposed organization chart.

h. If the requested position does not currently exist as a Standard Position Description, put a proposed title in the appropriate block along with a shaded area in the upper right corner to indicate the submission of a Form 6802-X (see Exhibits 163.332).

i. If the organization cannot be easily depicted on one chart, show each major function reporting directly to the unit manager on a separate continuation chart. Show the manager of each function on a covering basic chart reflecting only the direct reporting relationships to the unit manager.

j. Put the name of the organization and the date of submission at the bottom of the chart.

163.4 Submitting Requests

.41 From Field Units. The installation head or responsible manager submits the request with appropriate documentation (see 163.3) through administrative channels to the General Manager, Regional Compensation Division. Concurrence, including that of the functionally responsible regional director, is required at each successive higher level of management.

.42 From Headquarters Units. Requests originating at Headquarters and administrative supporting facilities are submitted with appropriate documentation (see 163.3) through administrative channels to the Office of Organization Management. The concurrence of the functionally responsible Assistant Postmaster General is required on all such requests.

163.5 Review and Authorization

.51 Regional Compensation Division

The Regional Compensation Division reviews all requests for major organization changes from the field and:

a. Screens requests for accuracy and completeness and identifies problems with the supporting data.

b. Provides guidance to managers in preparing additional justification.

c. Forwards the requests to the Office of Organization Management in Headquarters.

52. Office of Organization Management

.521 Considerations. On all requests for major organization changes, the Office of Organization Management performs a detailed analysis, as described in 150. This includes a consideration of:

a. Historical data relevant to the request.

b. Established postal structures, the principles of organization structures, and organization change criteria (see 130-150).

c. Impending developments which may have a bearing on current structures and staffing needs.

.522 Consultations. The Office of Organization Management coordinates its analysis with all concerned offices and departments.

a. The Operating Policies Office serves as a technical resource to ensure that all proposals are consistent with current operating policies and guidelines and reviews all proposals affecting field units and the Headquarters Operations Group. The concurrence of the Operating Policies Office is required on all organization changes within the jurisdiction of the Operations Group.

b. The Assistant Postmasters General (or their designated representatives) functionally responsible for units affected by proposed changes review requests (1) to identify operational and financial impacts of proposed changes and (2) to minimize any adverse consequences that could stem from such changes. Often two or more functional areas are involved in these consultations.

c. The Labor Relations Department reviews all proposed changes to ensure conformance with the provisions of the National Labor Agreement or any other applicable labor agreement.

d. The General Counsel—Law Department is consulted for an opinion on any legal issues that might arise as a result of a proposed change.

e. The rights of employees affected by changes are addressed in personnel policies and guidelines prepared by the Employee Relations Department.

.523 Taskforce. For a proposal likely to have national implications, a special taskforce may be convened by the Deputy Poastmaster General or the functionally responsible Senior Assistant Postmaster General to examine options and submit recommendations.

.524 Disposition. The Office of Organization Management may approve or deny the request:

a. Approval. Approved requests are released for implementation along with the following:

(1) Revised functional statements as appropriate.

(2) Organization charts showing authorized nonbargaining-unit positions and reporting relationships.

(3) A list of approved nonbargaining-unit positions showing title, grade, and occupation code.

(4) Implementation guidelines, as appropriate (see 163.7).

b. Denial. A letter explaining the reasons for denying the request is communicated through administrative channels to the initiating manager.

.53 Office of Compensation

Once the Office of Organization Management makes a decision about staffing and structure, it submits the Form 6802 X for each new or modified position to the Job Evaluation Division (Office of Compensation), which decides if the position can be matched to an existing Standard Position Description (SPD):

a. If the position can be matched, the Job Evaluation Division authorizes an existing standard position.

b. If the position cannot be matched, the Job Evaluation Divison (1) evaluates the position which includes assigning a grade, position title, and occupation code to the position and (2) prepares a *memorandum of authorization.* (Note: new positions may be filled with the concurrence of the Office of Organization Management upon release of the memorandum of authorization.)

163.6 Appeal to Higher Level

.61 An initiating manager who does not accept reasons for the denial may request higher level review by the Senior Assistant Postmaster General, Employee and Labor Relations Group.

.62 Written requests for higher level review may be directly submitted with copies to the next higher administrative level of management and to the Director, Office of Organization Management.

.63 Upon notification of a request for higher level review, the Office of Organization Management submits the relevant file to the SAPMG, Employee and Labor Relations Group.

163.7 Implementation Plan

.71 An implementation plan, containing guidelines for all actions necessary to effect a major organizational change, is prepared by the Office of Organization Management. Functional management at Headquarters provides technical guidance as requested to ensure accuracy of content and consistency with established policy.

.72 Implementation guidelines do not prescribe courses of action that might violate the authority clearly granted to local management. However, in such cases, the Office of Organization Management suggests appropriate procedures, particularly when established precedents are lacking or a uniform implementation process is desirable.

.73 While the circumstances unique to each organizational change govern the content areas of the implementation plan, the following illustrates what might be appropriately included:

a. Personnel policies covering reassignment procedures for affected employees coupled with a clarification of employee rights.

b. An implementation schedule with target dates for each stage of the overall plan.

c. Internal operational impacts of the modified structure and/or staffing plan.

d. *Standard Position Descriptions* for newly created jobs.

e. Guidelines for consolidating duties and responsibilities (as appropriate).

f. Guidelines covering the transfer of functions to or from another organizational unit (as appropriate).

g. Clarification of newly established reporting relationships.

h. Instructions concerning the implementation of changes affecting bargaining unit positions and any consultations with local unions that may be necessary.

i. Newly established linkages with other organizational units.

j. Provisions covering the review and assessment process.

k. Suggested procedures for monitoring compliance.

.74 Complex organizational changes generally require a detailed implementation plan, whereas changes of lesser importance can usually be implemented with a relatively small number of guidelines.

.75 The Office of Organization Management is responsible for determining the effect of realignment on individual nonbargaining positions. This responsibility includes determining the extent of change in duties or responsibilities of such positions. The status of incumbents of affected positions is described in 353.4. Note:

a. As necessary, a panel assists in making the determinations.

b. The panel consists of representatives from the Job Evaluation Division, Office of Human Resources, and affected functional area.

163.8 Records Transfer Plan

.81 When a major organizational change involves a transfer of function(s), a record transfer plan describing the planned disposition of files is prepared by the transferring unit prior to the effective date of the realignment. The plan should identify:

a. An individual responsible for planning and overseeing the records transfer.

b. Present records holdings by series (both in-office and storage at local and Federal Records Center).

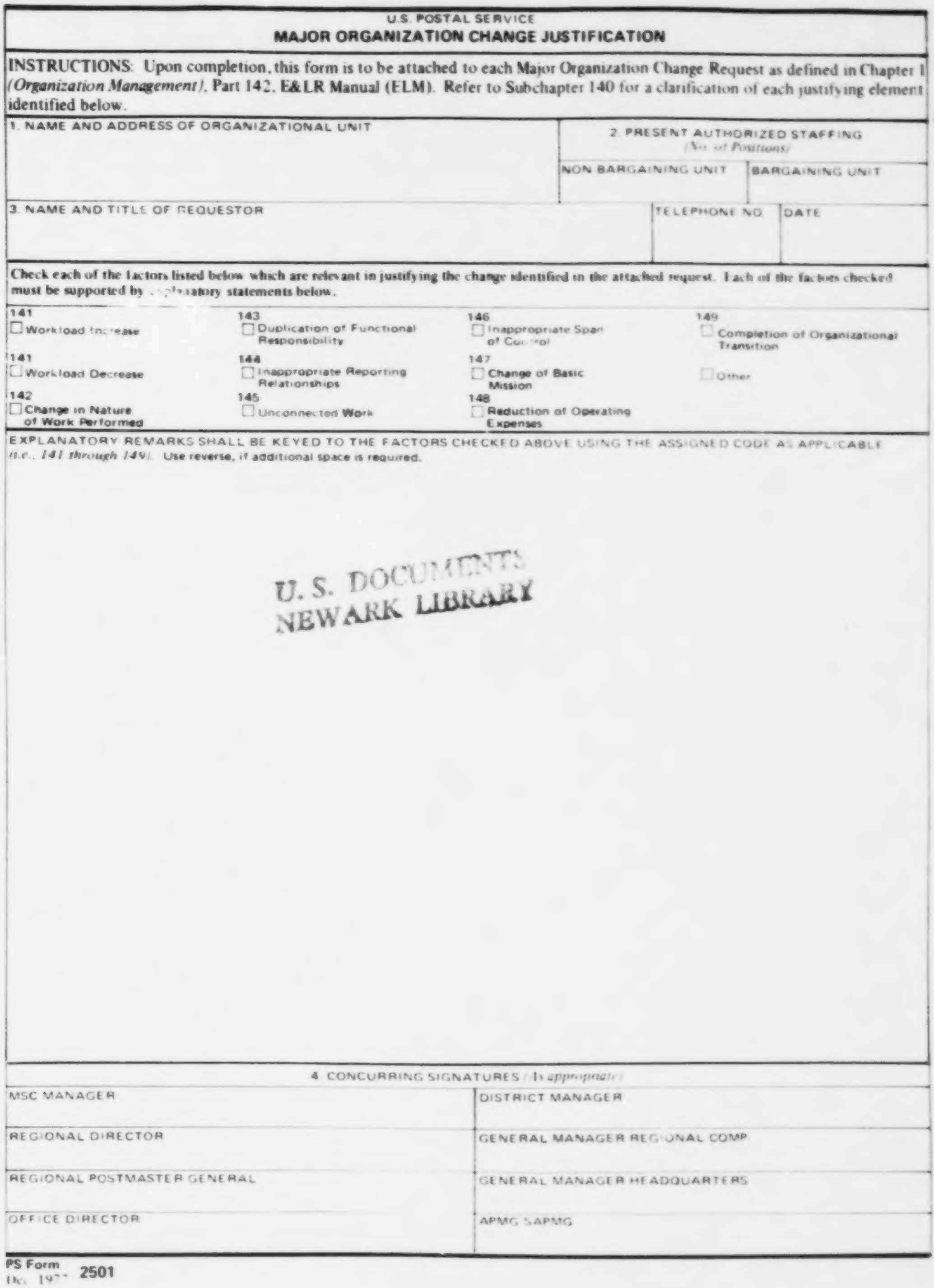
c. Records qualifying for destruction according to current disposition schedules.

d. Non-current records that may be retired to storage.

e. Records series to be transferred to the successor organization.

f. Protective measures to ensure the secure transfer of sensitive records (including those subject to USPS Privacy Act regulations).

.82 Guidelines covering records transfer activities may be obtained from the USPS Records Officer at Headquarters.



U.S. POSTAL SERVICE

MAJOR ORGANIZATION CHANGE JUSTIFICATION

INSTRUCTIONS: Upon completion, this form is to be attached to each Major Organization Change Request as defined in Chapter 1 *(Organization Management)*, Part 142, E&LR Manual (ELM). Refer to Subchapter 140 for a clarification of each justifying element identified below.

1. NAME AND ADDRESS OF ORGANIZATIONAL UNIT	2. PRESENT AUTHORIZED STAFFING *(No. of Positions)*	
	NON BARGAINING UNIT	BARGAINING UNIT

3. NAME AND TITLE OF REQUESTOR	TELEPHONE NO	DATE

Check each of the factors listed below which are relevant in justifying the change identified in the attached request. Each of the factors checked must be supported by explanatory statements below.

141 ☐ Workload Increase

141 ☐ Workload Decrease

142 ☐ Change in Nature of Work Performed

143 ☐ Duplication of Functional Responsibility

144 ☐ Inappropriate Reporting Relationships

145 ☐ Unconnected Work

146 ☐ Inappropriate Span of Control

147 ☐ Change of Basic Mission

148 ☐ Reduction of Operating Expenses

149 ☐ Completion of Organizational Transition

☐ Other

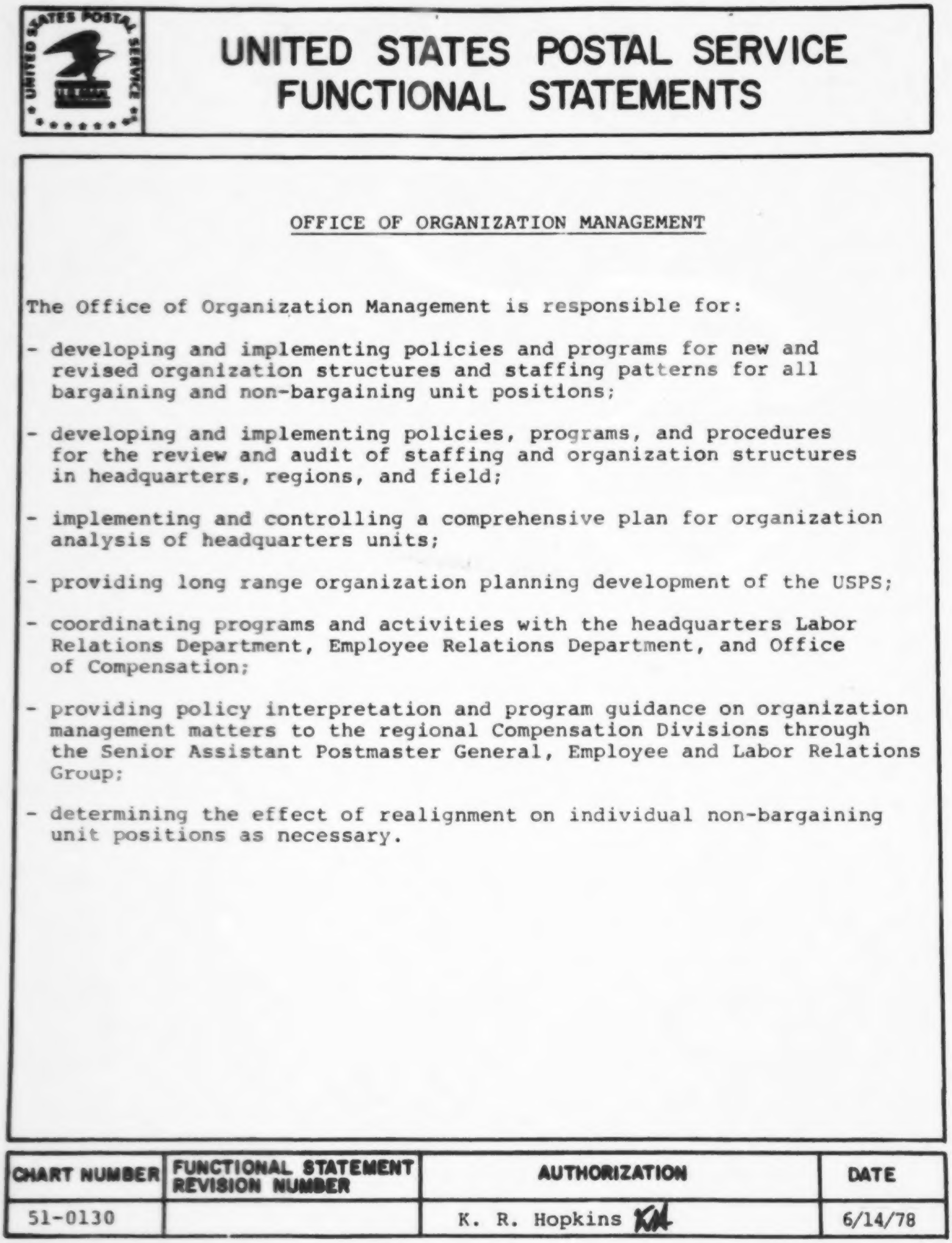
EXPLANATORY REMARKS SHALL BE KEYED TO THE FACTORS CHECKED ABOVE USING THE ASSIGNED CODE AS APPLICABLE *(i.e., 141 through 149)*. Use reverse, if additional space is required.

4. CONCURRING SIGNATURES *(As appropriate)*

MSC MANAGER	DISTRICT MANAGER
REGIONAL DIRECTOR	GENERAL MANAGER REGIONAL COMP
REGIONAL POSTMASTER GENERAL	GENERAL MANAGER HEADQUARTERS
OFFICE DIRECTOR	APMG SAPMG

PS Form 2501
Dec. 197[illegible]

Exhibit 163.31—Form 2501



UNITED STATES POSTAL SERVICE FUNCTIONAL STATEMENTS

OFFICE OF ORGANIZATION MANAGEMENT

The Office of Organization Management is responsible for:

- developing and implementing policies and programs for new and revised organization structures and staffing patterns for all bargaining and non-bargaining unit positions;
- developing and implementing policies, programs, and procedures for the review and audit of staffing and organization structures in headquarters, regions, and field;
- implementing and controlling a comprehensive plan for organization analysis of headquarters units;
- providing long range organization planning development of the USPS;
- coordinating programs and activities with the headquarters Labor Relations Department, Employee Relations Department, and Office of Compensation;
- providing policy interpretation and program guidance on organization management matters to the regional Compensation Divisions through the Senior Assistant Postmaster General, Employee and Labor Relations Group;
- determining the effect of realignment on individual non-bargaining unit positions as necessary.

CHART NUMBER	FUNCTIONAL STATEMENT REVISION NUMBER	AUTHORIZATION	DATE
51-0130		K. R. Hopkins	6/14/78

Exhibit 163.32—Functional Statement Example

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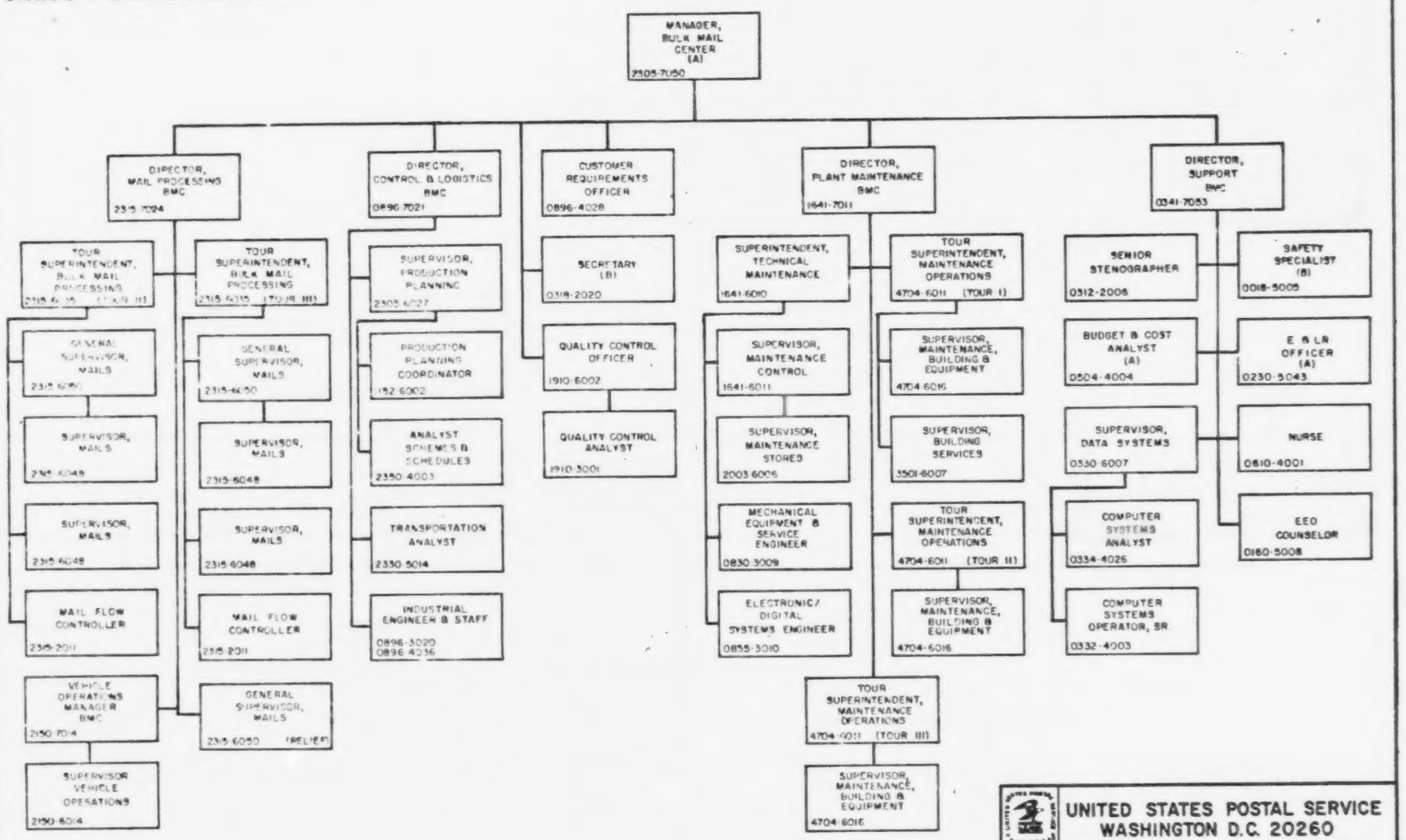
Exhibit 163.331—Authorized Chart

Chart Authorization


MANAGER, BULK MAIL CENTER (A)
2305-7050
DIRECTOR, MAIL PROCESSING BMC
2315-7024
DIRECTOR, CONTROL & LOGISTICS BMC
0896-7021
CUSTOMER REQUIREMENTS OFFICER
0896-4028
DIRECTOR, PLANT MAINTENANCE BMC
1641-7011
DIRECTOR, SUPPORT BMC
0341-7053
TOUR SUPERINTENDENT, BULK MAIL PROCESSING
(TOUR II)
TOUR SUPERINTENDENT, BULK MAIL PROCESSING
2315-6315 (TOUR III)
GENERAL SUPERVISOR, MAILS
2315-6050
SUPERVISOR, MAILS
2315-6048
SUPERVISOR, MAILS
2315-6048
MAIL FLOW CONTROLLER
2315-2011
VEHICLE OPERATIONS MANAGER BMC
2150-7014
SUPERVISOR VEHICLE OPERATIONS
2150-6014
GENERAL SUPERVISOR, MAILS
2315-6050
SUPERVISOR, MAILS
2315-6048
SUPERVISOR, MAILS
2315-6048
MAIL FLOW CONTROLLER
2315-2011
GENERAL SUPERVISOR, MAILS
2315-6050 (RELIEF)
SUPERVISOR, PRODUCTION PLANNING
2305-6027
PRODUCTION PLANNING COORDINATOR
152-6002
ANALYST SCHEMES & SCHEDULES
2330-4003
TRANSPORTATION ANALYST
2330-5014
INDUSTRIAL ENGINEER & STAFF
0896-3020
0896-4036
SECRETARY (B)
0318-2020
QUALITY CONTROL OFFICER
1910-6002
QUALITY CONTROL ANALYST
1910-3001
SUPERINTENDENT, TECHNICAL MAINTENANCE
1641-6010
SUPERVISOR, MAINTENANCE CONTROL
1641-6011
SUPERVISOR, MAINTENANCE STORES
2003-6005
MECHANICAL EQUIPMENT & SERVICE ENGINEER
0830-3009
ELECTRONIC/DIGITAL SYSTEMS ENGINEER
0855-3010
TOUR SUPERINTENDENT, MAINTENANCE OPERATIONS
4704-6011 (TOUR I)
SUPERVISOR, MAINTENANCE, BUILDING & EQUIPMENT
4704-6016
SUPERVISOR, BUILDING SERVICES
3501-6007
TOUR SUPERINTENDENT, MAINTENANCE OPERATIONS
4704-6011 (TOUR II)
SUPERVISOR, MAINTENANCE, BUILDING & EQUIPMENT
4704-6016
TOUR SUPERINTENDENT, MAINTENANCE OPERATIONS
4704-6011 (TOUR III)
SUPERVISOR, MAINTENANCE, BUILDING & EQUIPMENT
4704-6016
SENIOR STENOGRAPHER
0312-2006
BUDGET & COST ANALYST (A)
0504-4004
SUPERVISOR, DATA SYSTEMS
0330-6007
COMPUTER SYSTEMS ANALYST
0334-4026
COMPUTER SYSTEMS OPERATOR, SR
0332-4003
SAFETY SPECIALIST (B)
0018-5005
E & LR OFFICER (A)
0230-5043
NURSE
0810-4001
EEO COUNSELOR
0180-5008

UNITED STATES POSTAL SERVICE
WASHINGTON D.C. 20260

BULK MAIL CENTER
(EXCEPT FOR N.Y. & CHICAGO)

DATE	AUTHORIZATION	DATE	REV.	SHEET NO.
7-28-77	A. R.	7-16-77	1	
		CHART NUMBER		
		11-0200		

Exhibit 163.332 (p. 1)—Chart Proposal

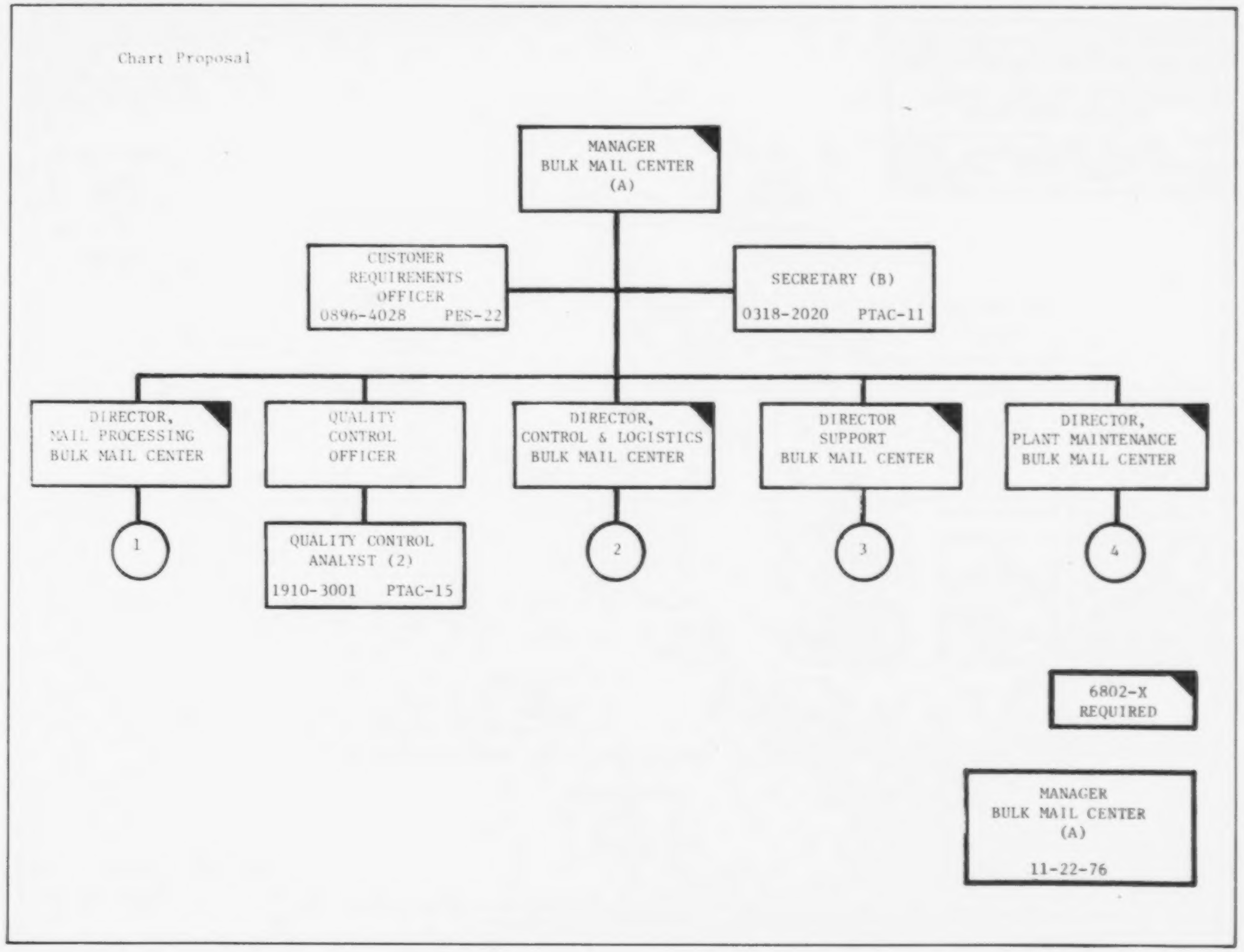
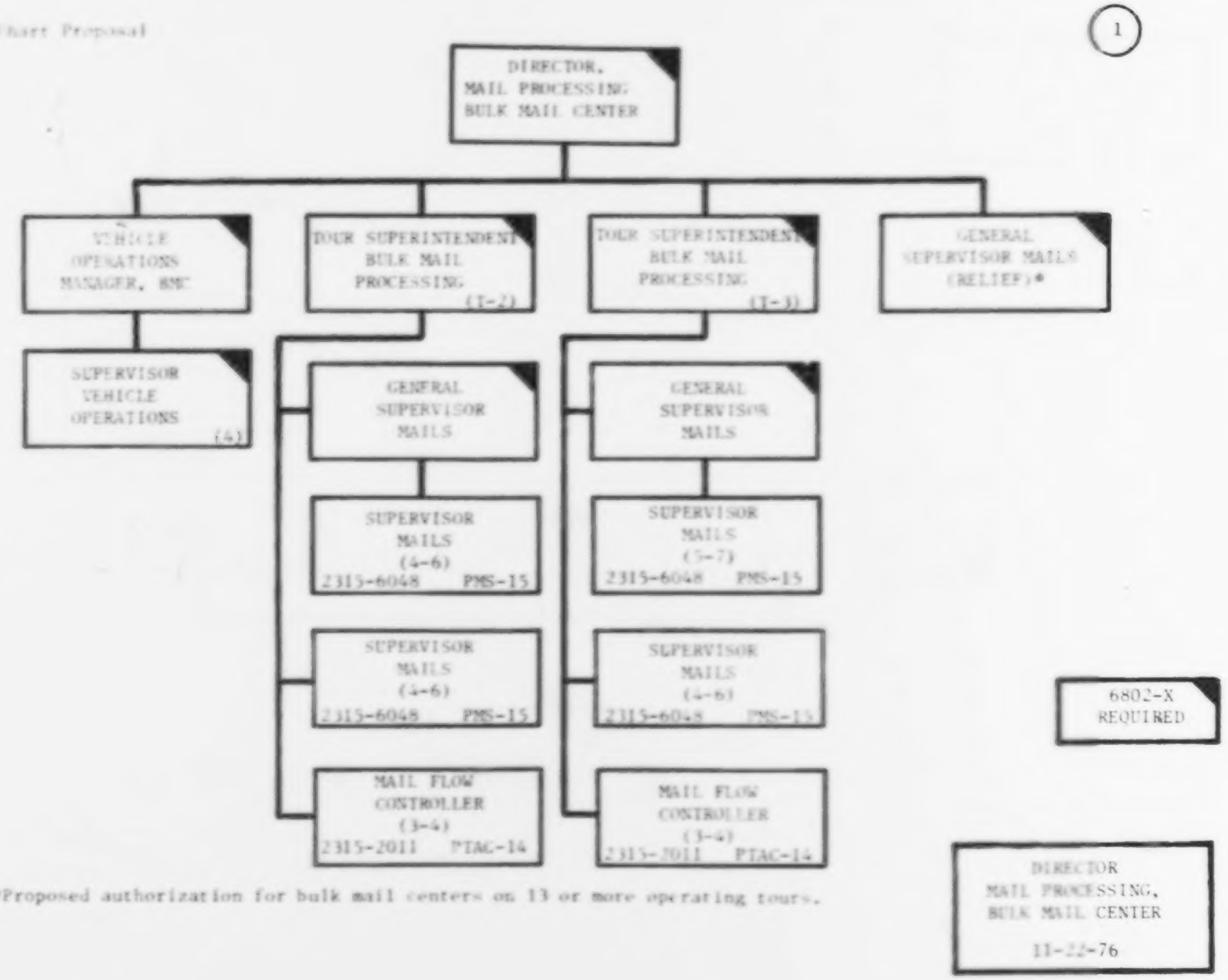


Chart Proposal
MANAGER
BULK MAIL CENTER
(A)
CUSTOMER
REQUIREMENTS
OFFICER
0896-4028 PES-22
SECRETARY (B)
0318-2020 PTAC-11
DIRECTOR,
MAIL PROCESSING
BULK MAIL CENTER
QUALITY
CONTROL
OFFICER
DIRECTOR,
CONTROL & LOGISTICS
BULK MAIL CENTER
DIRECTOR
SUPPORT
BULK MAIL CENTER
DIRECTOR,
PLANT MAINTENANCE
BULK MAIL CENTER
1
QUALITY CONTROL
ANALYST (2)
1910-3001 PTAC-15
2
3
4
6802-X
REQUIRED
MANAGER
BULK MAIL CENTER
(A)
11-22-76

Chart Proposal


1
DIRECTOR,
MAIL PROCESSING
BULK MAIL CENTER
VEHICLE
OPERATIONS
MANAGER, BMC
TOUR SUPERINTENDENT
BULK MAIL
PROCESSING
(T-2)
TOUR SUPERINTENDENT
BULK MAIL
PROCESSING
(T-3)
GENERAL
SUPERVISOR MAILS
(RELIEF)*
SUPERVISOR
VEHICLE
OPERATIONS
(4)
GENERAL
SUPERVISOR
MAILS
GENERAL
SUPERVISOR
MAILS
SUPERVISOR
MAILS
(4-6)
2315-6048 PMS-15
SUPERVISOR
MAILS
(5-7)
2315-6048 PMS-15
SUPERVISOR
MAILS
(4-6)
2315-6048 PMS-15
SUPERVISOR
MAILS
(4-6)
2315-6048 PMS-15
MAIL FLOW
CONTROLLER
(3-4)
2315-2011 PTAC-14
MAIL FLOW
CONTROLLER
(3-4)
2315-2011 PTAC-14
6802-X
REQUIRED
DIRECTOR
MAIL PROCESSING,
BULK MAIL CENTER
11-22-76

*Proposed authorization for bulk mail centers on 13 or more operating tours.

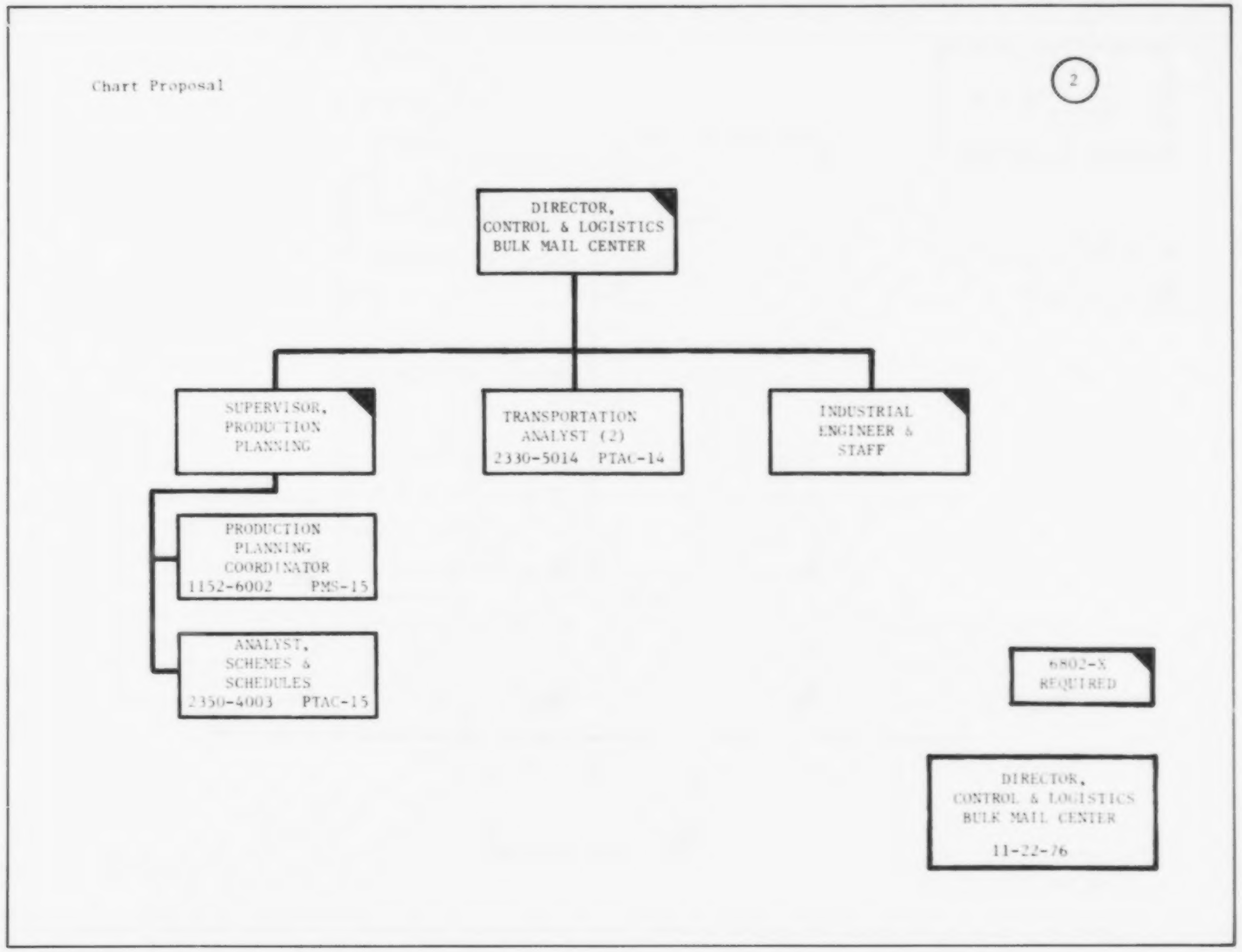
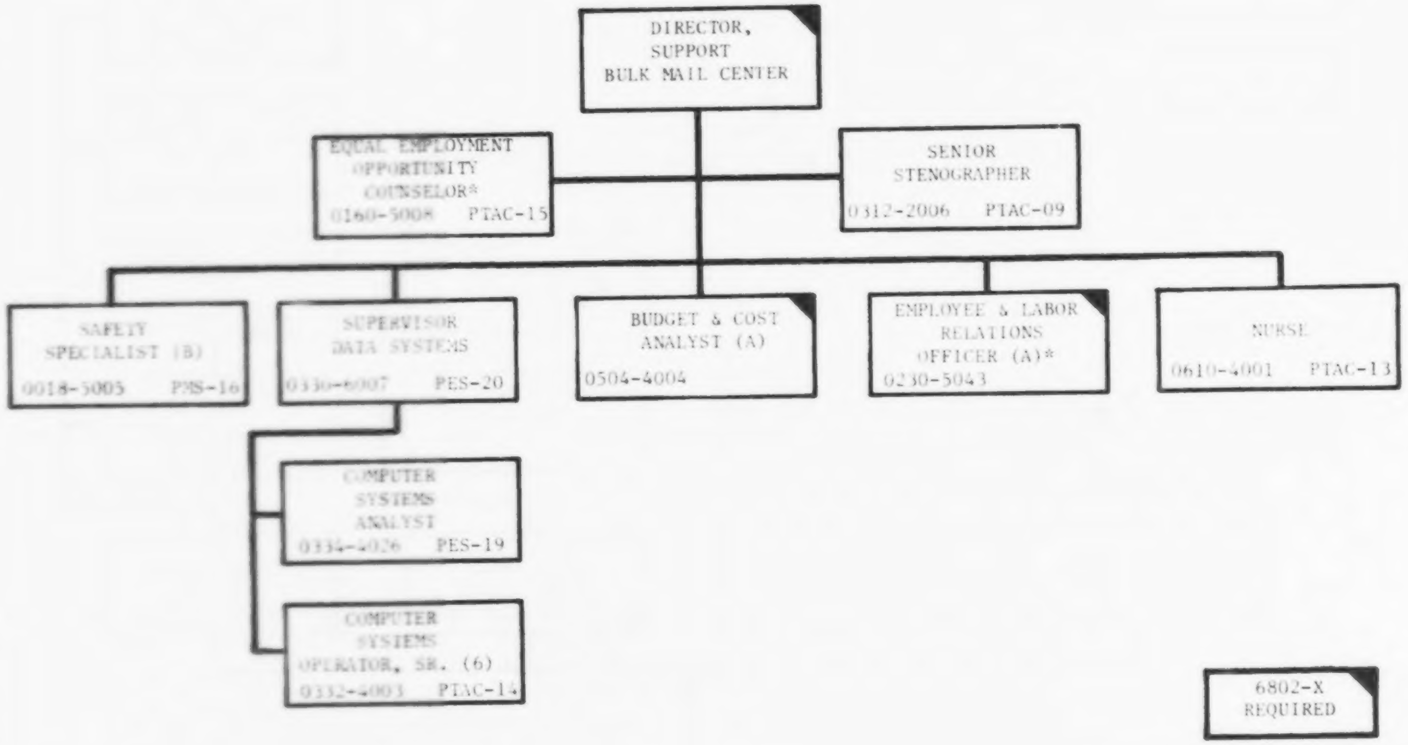


Chart Proposal
2
DIRECTOR, CONTROL & LOGISTICS BULK MAIL CENTER
SUPERVISOR, PRODUCTION PLANNING
TRANSPORTATION ANALYST (2) 2330-5014 PTAC-14
INDUSTRIAL ENGINEER & STAFF
PRODUCTION PLANNING COORDINATOR 1152-6002 PMS-15
ANALYST, SCHEMES & SCHEDULES 2350-4003 PTAC-15
6802-X REQUIRED
DIRECTOR, CONTROL & LOGISTICS BULK MAIL CENTER 11-22-76

Exhibit 163.332 (p. 3)—Chart Proposal

Chart Proposal

③


DIRECTOR,
SUPPORT
BULK MAIL CENTER
EQUAL EMPLOYMENT
OPPORTUNITY
COUNSELOR*
0160-5008 PTAC-15
SENIOR
STENOGRAPHER
0312-2006 PTAC-09
SAFETY
SPECIALIST (B)
0018-5005 PMS-16
SUPERVISOR
DATA SYSTEMS
0330-6007 PES-20
BUDGET & COST
ANALYST (A)
0504-4004
EMPLOYEE & LABOR
RELATIONS
OFFICER (A)*
0230-5043
NURSE
0610-4001 PTAC-13
COMPUTER
SYSTEMS
ANALYST
0334-4026 PES-19
COMPUTER
SYSTEMS
OPERATOR, SR. (6)
0332-4003 PTAC-14

6802-X
REQUIRED

DIRECTOR,
SUPPORT
BULK MAIL CENTER

11-22-76

*Ad Hoc

Exhibit 163.332 (p. 5)—Chart Proposal

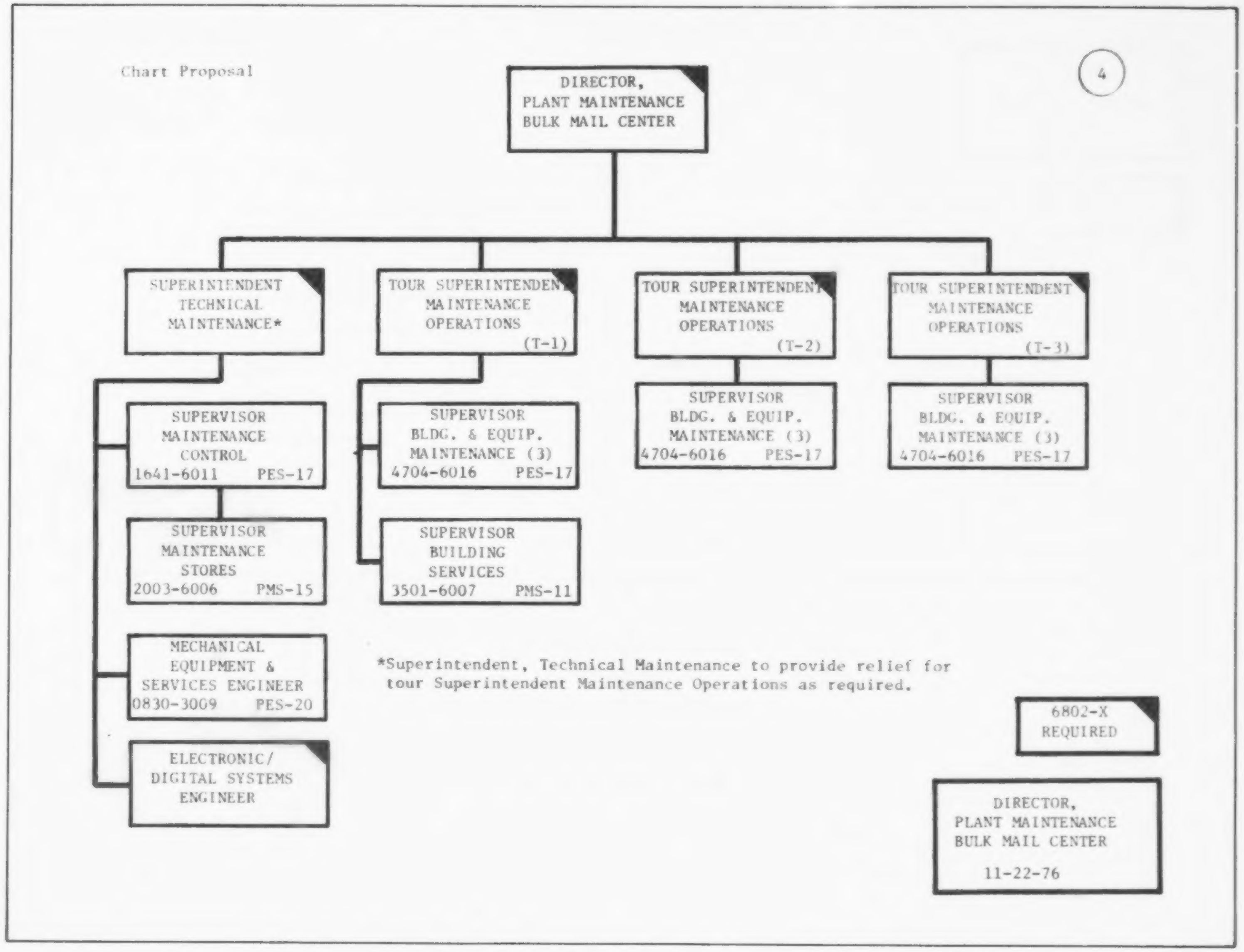


Chart Proposal
4
DIRECTOR, PLANT MAINTENANCE BULK MAIL CENTER
SUPERINTENDENT TECHNICAL MAINTENANCE*
TOUR SUPERINTENDENT MAINTENANCE OPERATIONS (T-1)
TOUR SUPERINTENDENT MAINTENANCE OPERATIONS (T-2)
TOUR SUPERINTENDENT MAINTENANCE OPERATIONS (T-3)
SUPERVISOR MAINTENANCE CONTROL 1641-6011 PES-17
SUPERVISOR MAINTENANCE STORES 2003-6006 PMS-15
MECHANICAL EQUIPMENT & SERVICES ENGINEER 0830-3009 PES-20
ELECTRONIC/ DIGITAL SYSTEMS ENGINEER
SUPERVISOR BLDG. & EQUIP. MAINTENANCE (3) 4704-6016 PES-17
SUPERVISOR BUILDING SERVICES 3501-6007 PMS-11
SUPERVISOR BLDG. & EQUIP. MAINTENANCE (3) 4704-6016 PES-17
SUPERVISOR BLDG. & EQUIP. MAINTENANCE (3) 4704-6016 PES-17
6802-X REQUIRED
DIRECTOR, PLANT MAINTENANCE BULK MAIL CENTER 11-22-76

*Superintendent, Technical Maintenance to provide relief for tour Superintendent Maintenance Operations as required.

Chapter 2
Job Evaluation

210 Administrative Framework

211 JEP Background Information

211.1 Concept. After the establishment of the U.S. Postal Service in 1971, all postal jobs were analyzed to put their contents into measurable terms and establish their ranking on a strict basis of relative worth. The Job Evaluation Program (JEP) provides a factual basis on which to classify each job and assign an equitable wage or salary in an amount commensurate with the job's worth to the Postal Service.

211.2 Implementation. JEP became effective on March 3, 1973 for those employees in the *Postal Management (PMS)* and *Postal Executive (PES)* salary schedules. In mid-1976, the *Postal Technical, Administrative, and Clerical (PTAC)* salary schedule was established. In mid-1978, the PES and PTAC schedules were combined into the *Executive and Administrative Schedule (EAS);* positions under this schedule remain under JEP.

211.3 Exceptions. Most of the bargaining unit positions are in the *Postal Service* (PS) schedule and are not covered by JEP. They are still ranked against key position descriptions, as they were under the Post Office Department *Postal Field Service* (PFS) system.

212 Delegations of Responsibility

212.1 SAPMG, E&LR Group. The Senior Assistant Postmaster General, Employee and Labor Relations Group, is responsible for assuring:

a. That each position in the Postal Service is evaluated and placed in an appropriate salary grade.

b. That postal employees receive equal pay for substantially equal work.

212.2 Headquarters (Job Evaluation Division). The Job Evaluation Division in the Office of Compensation at Headquarters is responsible for:

a. Developing new position descriptions.

b. Revising existing position descriptions.

c. Matching duty assignments to existing position descriptions.

d. Processing requests for job evaluation review (RFR) and for furnishing information to the *Special Review Panel* upon request.

212.3 Regions (Compensation Divisions). The compensation division of each of the five regional headquarters is responsible for:

a. Matching requests for job evaluation action and requests for ranking of bargaining-unit positions to existing position descriptions.

b. Processing requests for job evaluation review (RFRs).

212.4 Reviewing Offices. The regional management offices, district offices, and management sectional centers (MSCs) are responsible for:

a. Reviewing requests for job evaluation action and requests for ranking of bargaining-unit positions and submitting comments and recommendations.

b. Processing RFRs and commenting on the validity of the requests.

212.5 Initiating Offices. The associate offices or other initiating offices are responsible for:

a. Ranking authorized bargaining unit positions that match key or standard position descriptions in grade level PS-5 or below.

b. Preparing requests for ranking of positions which cannot be matched to key or standard position descriptions at PS-5 or below.

c. Preparing requests for job evaluation action on non-bargaining unit positions.

212.6 Immediate Supervisors. The immediate supervisor must inform each employee of the specific duties and responsibilities of the position to which the employee is assigned. This is to be done:

a. When an employee is newly hired.

b. When an employee is assigned to a different position.

c. When an employee's grade level is changed.

213 Management Levels of Review

For the purpose of this chapter, management levels of review are defined as follows:

Initiating or Reviewing Office	Next Management Level of Review
Associate Office	Management Sectional Center
Management Sectional Center	District Office
District Office	Regional Management Office
Regional Management Office	Regional Compensation Division

214 Position Description Handbooks and Files

214.1 Content of Handbooks and Files

.11 Handbook P-1. This handbook contains copies of key position (KP) and standard position (SP) descriptions for authorized bargaining unit positions in the Postal Service. It also contains standard position descriptions (SPDs) used in Supply Centers, Mailbag Depositories, and the Mail Equipment Shop for bargaining unit positions.

.12 Handbook P-4. This handbook contains copies of standard position descriptions (SPDs) for authorized non-bargaining unit positions at the MSC level and below.

.13 Standard Position Descriptions Not Included in Handbooks. No handbooks have been established for SPDs covering District, Regional, Headquarters, and Headquarters-related positions. Copies of position descriptions are sent to the interested offices.

214.2 Maintenance of Position Descriptions

.21 Headquarters (Job Evaluation Division). A master file of all key, standard and individual position descriptions for bargaining unit and non-bargaining unit positions is maintained by the Job Evaluation Division in the Office of Compensation at Headquarters.

.22 Regions (Compensation Divisions). The regional compensation divisions maintain Handbooks P-1 and P-4 and a file of SPDs for regional and field positions within their regions which are not included in the handbooks.

.23 Districts. District offices maintain Handbooks P-1 and P-4 and a file of SPDs for the district office and field positions within their districts which are not included in the handbooks.

.24 Management Sectional Centers. MSCs maintain Handbooks P-1 and P-4 and a file of SPDs for the MSC and associate office positions within their centers which are not included in the handbooks.

214.3 Updating of Handbooks and Files. Whenever a new key, standard or individual position description is developed, or an existing position description is revised, the Headquarters Office of Compensation, Job Evaluation Division, sends one copy to each installation that maintains the handbook or file in which the copy should be placed.

214.4 Access to Copies of Position Descriptions

.41 Regional Management Offices. Regional management offices are not authorized to maintain handbooks or files of position descriptions. They have access to regional compensation division copies of descriptions covering positions in their organizations.

.42 Employees. Employees have the right to read their own position descriptions; and installation heads must provide the means by which this right may be exercised.

.43 Position Descriptions for Other Positions. No employee, supervisor or management official has the right of access to position descriptions other than those authorized above.

214.5 Form 820 Files. Installation heads maintain a file of approved and ranked Forms 820. They are not to be filed in the employees' official personnel folders.

220 Non-Bargaining Unit Positions

221 Background Information

221.1 SPD Preparation. Form 6800, *Standard Position Description* (SPD) (Exhibit 227.1), is prepared by the Headquarters Office of Compensation, Job Evaluation Division, to reflect the duties and responsibilities assigned to non-bargaining unit positions in the Postal Service. Copies of SPDs are distributed to the appropriate offices for use by management in planning and decision-making.

221.2 SPD Change. When changes are made in the duties and responsibilities assigned to an employee, the changes should be documented on a Form 6802-X, *Request for Job Evaluation Action* (Exhibit 227.2). The new duty assignment will (a) be matched to an existing SPD, (b) result in a revision to an existing SPD, or (c) be incorporated in a new SPD. The initiating office is notified of the action taken (see 227.3 and 227.4).

221.3 SPD Deletion. When an SPD becomes obsolete through management decision or technological change, it is deleted from the job evaluation system.

222 Request for Job Evaluation Action

222.1 Initiating Requests

.11 Conditions. Requests for job evaluation action must be initiated on Form 6802-X when the duties and responsibilities of positions are affected by one or more of the following changes:

a. Policy decisions
b. Service requirements
c. Mission redefinition
d. Reorganization
e. Technological improvements
f. Mechanization
g. Establishment of a new installation
h. Methods programs
i. Other management or design changes

.12 Restrictions. The following types of requests are not acceptable:

a. Requests initiated by incumbents, *except* in connection with requests for job evaluation review (RFRs), as described in 225.

b. Requests initiated for the purpose of solving personnel or other management problems where duties and responsibilities have not changed.

c. Requests sent directly to Headquarters, rather than through normal management channels.

.13 Responsibility. A request for job evaluation action on a position is initiated on Form 6802-X by (a) the manager or supervisor to which the position reports or (b) the appropriate staff office.

222.2 Documentation Requirements

.21 Preparation. The manager, supervisor, or staff office prepares Form 6802-X according to the instructions in 227.2 and submits it to the installation head for signature. A detailed rationale and any supporting information, such as proposed organization chart, staffing data, etc. must be attached.

.22 Signature. The installation head is the initiating official and must sign the original of the Form 6802-X.

.23 Copies. The Form 6802-X, the detailed rationale and supporting information must be prepared in triplicate (original and two copies).

.24 Routing. The initiating official retains one copy and forwards (a) the original of the Form 6802-X, appropriately signed and dated, (b) the regional compensation division copy, and (c) the detailed rationale and supporting information to the next management level of review.

222.3 Sign-Off at Management Review Levels

.31 Management at each level of review (see 213) is authorized to approve, deny or modify a request, but is not authorized to approve a new position or grade. The responsible management official (a) indicates approval or recognition of the change which has created the new or changed position by signing and dating the original, (b) attaches any comments or documentation, and (c) forwards it to the next management level.

.32 If, at any level of review, management does not approve the Form 6802-X, it is returned to the originating office through the appropriate management channels (reverse order of upward direction) with necessary comments.

222.4 Action by Regional Compensation Division

The Regional Compensation Division:

a. Logs (dates receipt of) each request; assures that it has been properly approved; and notifies the originating office of the date the request is received.

b. Reviews the request for accuracy and adequacy; if necessary, obtains organization and staffing approval from the Headquarters Office of Organization Management; and then takes one of the following actions:

(*1*) Matches the request to an existing SPD, Form 6800, and prepares a *Staffing Change Notice* (Exhibit 227.3) showing the proper title, grade, and occupation code of the position.

(*2*) Forwards the request to the Headquarters Office of Organization Management for approval and submission to the Office of Compensation for job evaluation action.

(*3*) Denies the request and prepares a memorandum stating the reasons.

c. Sends the *Staffing Change Notice* or memorandum to the initiating office through normal management channels (reverse order of upward direction) and sends a copy to the Office of Organization Management at Headquarters.

222.5 Action by Headquarters Office of Compensation

The Headquarters Office of Compensation, Job Evaluation Division:

a. Logs (dates receipt of) each request and assures that proper regional and headquarters approvals have been given to the proposed new or changed position.

b. Reviews the request and takes one of the following actions:

(*1*) Matches the request to an existing SPD and prepares an M/A (see 227.4) showing the proper title, grade, and occupation code of the position.

(*2*) Revises an existing SPD to include the duties and responsibilities contained in the request and prepares an M/A.

(*3*) Develops a new SPD, assigns an 8-digit occupation code, and prepares an M/A. (*Note*: only the Job Evaluation Division is authorized to develop new SPDs and to establish occupation codes.)

(*4*) Denies the request and prepares a memorandum stating the reasons.

c. Sends the M/A or other memorandum to the initiating office through the Regional Compensation Division, and sends a copy to the Headquarters Office of Organization Management.

223 Criteria for Matching High Incumbency Positions

223.1 Explanation. Form 6802-X, *Request for Job Evaluation Action*, may be matched either by the Regional Compensation Division or by the Headquarters Office of Compensation (Job Evaluation Division). Established criteria are used in matching certain high-incumbency non-bargaining unit positions (e.g., postmaster) to ensure objectivity and consistency in evaluating the positions. Criteria are, however, flexible and do accommodate exceptions.

223.2 Examples. The four examples which follow account for approximately one-third of the total number of non-bargaining employees. Criteria are structured to show clear grade level breaks under normal circumstances.

a. Postmaster Positions—Except in Offices Labeled as Customer Services Offices.

Postmaster	Service Requirements	Non-Supervisory Employees[1]	Supervisors[1]
A NCD-12 2301-5001	Normally provides window box and general delivery services. May provide rural or star route service having less than 50 box delivery.	Normally no regularly scheduled clerical hours except postmaster replacement and postmaster relief.	None
B NCD-15 2301-6001	Normally provides window box and general delivery services. Administratively responsible for 1 rural or star route with at least 50 box delivery. A unique or abnormal activity requiring a minimum average of 4 hours daily clerical assistance may be considered as a substitution for the rural or star route. *Unique or Abnormal Activity Example:* a. Minimum of 300 rented lock boxes. b. Large institutional separation and delivery activity. c. Large volume mailer.	May have 4 hours average daily clerical assistance.	None
C NCD-17 2301-6002	Normally supervises or provides window, box, and general delivery services. Administratively responsible for 2 or more rural or star routes, each having at least 50 box delivery. A unique or abnormal activity requiring a minimum average of 4 hours daily clerical assistance may be considered as a substitution for the 2nd rural or star route.[2]	Normally has 4 hours average daily clerical assistance.	Normally none.
CC EAS-18 2301-7012	Normally less than 5 regular or auxiliary city delivery routes. Supervises or provides distribution, window, box and general delivery services. 8 or more regular rural routes may be considered as substitution for the city delivery service. May have a classified station or branch.	Normally has full-time clerical assistance in addition to the city delivery or rural carrier work force.	May have 1 subordinate supervisor.
D[3] EAS-20 2301-7002	Normally responsible for 5 to 34 city delivery routes; or a combination of 4 city delivery routes and 4 regular rural routes; or a combination of 4 city delivery routes and an exceptional area mail processing activity. May have a classified station or branch.	Normally up to 75 regularly scheduled clerks, carriers and mail handlers.	Subordinate supervision.
E[3] EAS-22 2301-7003	Normally responsible for 35 to 76 city delivery routes or a combination of city delivery routes and an exceptional area mail processing activity. Normally has limited classified stations or branches.	70 to 200 regularly scheduled clerks, carriers and mail handlers.	3 or more, subordinate supervisors.
F[3] EAS-24 2301-7004	Normally responsible for 77 to 200 city delivery routes. Significant mail processing activity consisting of heavy outgoing and incoming operations on one or more tours, or a 3-tour coverage of either operation. Has carrier stations or branches, or equivalent detached units.	195 up regularly scheduled clerks, carriers and mail handlers.	7 or more subordinate supervisors.

[1] These two columns are typical of what each size office may have, but are not a factor in the evaluation of the office.

[2] This does not include the time the clerk serves while the postmaster is at lunch or off-duty.

[3] All references to city delivery routes in Postmasters D, E, and F mean regular routes—except that auxiliary routes may be substituted for regular routes on a partial credit basis. A total of 8 auxiliary route hours is equal to 1 regular route.

b. Manager of Station or Branch Operations Positions.

Title	Service Requirements	Routes	Non-Sup. Employees	Supervisors
Mgr. Sta/ Br. Oprns. (AA) PMS14 2305-6032	Provides delivery service for a specific geographic area; window services; and very limited mail distribution. Ensures adequate building and vehicle services.	1-4	2-10	None
Mgr. Sta/ Br. Oprns. (A) PMS-16 2305-7037	Provides delivery and collection service for a geographic area; window and box services; limited mail distribution and dispatch. Ensures adequate building and vehicle services.	5-15	7-30	May have 1 functional.
Mgr. Sta/ Br. Oprns. (B) EAS18 2305-7038	Provides delivery and collection services for geographic area; window services; mail distribution and dispatch. Ensures adequate building and equipment maintenance, and vehicle services.	16-40	26-100	May have 1-3 functional.
Mgr. Sta/ Br. Oprns. (BB) EAS19 2305-7064	Provides delivery and collection services for a geographic area and may provide such services beyond the normal delivery area; window services; mail distribution and dispatch. Ensures adequate building and equipment maintenance, and vehicle services.	41-70	91-140	May have 3-5 functional.
Mgr. Sta/ Br. Oprns. (C) EAS20 2305-7039	Provides delivery and collection services for a geographic area and may perform such services beyond the normal delivery area, as well as providing delivery and collection to large mail users; window services; distribution & dispatch (which may extend beyond the immediate delivery area). Ensures adequate building and equipment maintenance, and vehicle services.	71-120	131-240	May have 5-12 Staff-general & functional.

c. Superintendent of Window Services Positions.

Title	Service Requirements	Non-Supervisory Employees*	Subordinate Supervisors	Revenue
Supt. (A) 2320-6008 PMS-13	Window services. Distribution of Mail to boxes. Limited processing of mail for dispatch to main office processing units. Building custodial maintenance	3-6	None	Up to 5 Mil.
Supt. (B) 2320-6009 PMS-16	Window services. SSPUs. Distribution of mail to boxes. Service to carriers on accountable items. Service to station & branches on accountable paper items. May serve as accountable paper custodian *in a main office unit*	7-25	May Have 1	Up to 25 Mil.
Supt. (C) 2320-6010 EAS-18	Window Services SSPUs Distribution of mail to boxes. Mail Processing services in a *centralized registry unit*. Service to carriers on accountable items. Usually serves as the accountable paper custodian *in the main office unit*. Fills stamp requisitions for *associate offices*. Service to stations & branches on accountable paper items.	26 & Up	1-4	Up to 50 Mil.

*The number of non-supervisory employees authorized for a superintendent of window services (A) position is established in finance stations and main offices by management decision.

d. Operations Manager of Classified Station Positions.

Title	Service Requirements	Craft	Routes
Operations Manager (A) 2305-7055 EAS-21	A large station with complex mail processing, dispatch, window services, delivery for a geographic area, building and equipment maintenance	241-850	121-400
Operations Manager (B) 2305-7054 EAS-23	A very large station with highly complex, major mail processing, dispatch, window services, delivery for a geographic area, building and equipment maintenance	851-2000	301-up
Operations Manager (C) 2305-7067 EAS-24	An extremely large station	2001-5000	301-up
Operations Manager (D) 2305-7066 EAS-25	A station similar to GPO Station, N.Y. or Morgan Station, N.Y.	5001-up	301-up

224 Position Audits and Studies

224.1 Position Audits. When a Form 6802-X is received the responsible job analyst may conduct a position audit to obtain additional information. A position audit involves an interview with the supervisor and/or the incumbent, plus an on-site observation of the workplace. The interview is conducted at the work site if conditions permit.

224.2 Organization Studies. During reorganizations, and at other times as necessary, the Headquarters Office of Compensation, Job Evaluation Division, reviews an entire organization to determine the relationship among the positions and reviews the evaluation of each position. If audits are required, they are conducted in the same manner as those described in 224.1 above.

224.3 Occupation Studies. Occupation studies are initiated by the Headquarters Office of Compensation, Job Evaluation Division, to clarify and differentiate among positions assigned to a specific occupation. They may include positions assigned to other occupations which are similar to those within the occupation being studied. Positions are also selected if they are questionable as to occupation. Selection of positions to be audited is made to provide a good cross-section of the occupation. Position audits are conducted in the same manner as those described in 224.1 above.

224.4 Notification of Results. Following an audit or study, a memorandum of authorization (M/A) covering each position reviewed or affected is sent to the responsible management official.

225 Request for Job Evaluation Review (RFR)

225.1 Initiating Requests for Review

.11 Conditions. Employees who believe that information of substantial value was overlooked in the evaluation of their positions may initiate a Request for Job Evaluation Review (RFR). Any manager who feels that information of substantial value was overlooked in the evaluation of a subordinate position also may initiate an RFR.

.12 Restrictions. The following types of requests are restricted:

a. Conversion Errors. Requests dealing with supposed errors which occurred when the Postal Service converted to the current job evaluation system on March 3, 1973, are no longer accepted.

b. Retroactive Changes. Requests initiated after August 1, 1974 are treated as current requests. Changes are not retroactive.

c. Incomplete Information. Requests are returned if substantive information is lacking. Additional information is requested in other cases.

d. Employee-Management Differences. Requests should not be initiated to resolve employee-management disagreements as to the job requirements. These problems should be resolved at the local level.

.13 Responsibility. The incumbent or the manager who feels that substantive information was overlooked in the evaluation of the position is responsible for preparing the RFR. Where appropriate, the Form 6802-X may be prepared by the responsible staff office for the manager.

225.2 Documentation Requirements

.21 Preparation. The incumbent or manager (or staff office) prepares the RFR on Form 6802-X in accordance with the instructions in 227.1. A cover letter or memorandum must accompany the completed Form 6802-X, stating the differences perceived between the content of the SPD to which the employee is assigned and the employee's actual duties and responsibilities. The Form 6802-X must not be a word-for-word copy of the SPD to which the employee is assigned or wants to be assigned.

.22 Routing. RFRs are routed through normal management channels (see 213) to the appropriate regional compensation division.

225.3 Sign-Off at Management Review Levels

.31 Action Required Prior to Sign-Off. The immediate supervisor takes all of the following actions; reviewing managers take the following actions as appropriate:

a. Determines that the facts as presented and documented accurately reflect the work being performed.

b. Determines that the position is functioning as management intends and, if it is not, meets with the employee to discuss the manner in which it should be functioning.

c. If, after the situation has been thoroughly discussed, the employee persists in claiming that information of substantial value was overlooked in evaluating the position, advise the employee that the request will be sent forward through proper channels to the Regional Compensation Division.

d. Provides a written statement either supporting or refuting the basis of the RFR. The supervisor and each reviewing manager must provide an input, either positive or negative, not simply forward the request.

.32 Sign-Off Procedure. Each reviewing manager must sign and date both the original of the Form 6802-X and the written statement before dispatching the request to the next management level.

225.4 Action by Regional Compensation Division

The Regional Compensation Division:

a. Sends the initiating employee or manager a written response acknowledging receipt of the RFR.

b. Analyzes the RFR and takes one of the following courses of action:

(*1*) Matches the request to an existing SPD at grade EAS-21 or below and prepares a *Staffing Change Notice*, showing the proper title, grade, and occupation code.

(*2*) Forwards the request to the Office of Compensation at Headquarters for review.

(*3*) Denies the request and prepares a memorandum stating the reasons.

c. Sends the *Staffing Change Notice* or memorandum to the initiating employee or manager through normal management channels. It also sends a copy of each RFR, together with the region's response, to the Office of Compensation.

225.5 Action by Headquarters Office of Compensation

The Job Evaluation Division in the Office of Compensation:

a. Reviews RFRs for positions at grade EAS-22 and above and any others which may require action not within the authority of the Regional Compensation Division.

b. Analyzes the RFR and takes one of the following courses of action:

(*1*) Matches the request to an existing SPD and prepares a Memorandum of Authorization (M/A), showing the proper title, grade, and occupation code.

(*2*) Revises an existing SPD to include the duties and responsibilities contained in the request and prepares an M/A.

(*3*) Develops a new SPD covering the duties and responsibilities contained in the request and prepares an M/A.

(*4*) Denies the request and prepares a memorandum stating the reasons.

c. Sends the M/A or other memorandum to the initiating employee or manager through the Regional Compensation Division. It maintains files on all RFRs processed by the regions and by Headquarters.

225.6 Time Frames

.61 Employee. Any employee promoted or reassigned to a position, who is dissatisfied with the grade of the position, must initiate an RFR within 60 calendar days of the effective date of the promotion or reassignment.

.62 Manager. Any manager who is dissatisfied with the grade of a subordinate position must initiate an RFR within 60 calendar days of the date of the M/A or *Staffing Change Notice* authorizing the position. Employee-initiated requests must be processed and dispatched by the responsible manager, with appropriate comments, to the next management review level within five working days from the date of receipt.

.63 Reviewing Officials. Installation heads, MSC and district managers must process and dispatch RFRs, with appropriate comments, to the next management review level within five working days from the date of receipt.

.64 Regional Compensation Division. RFRs covering positions at grade EAS-21 and below must be processed and the responses dispatched back through normal management channels to the initiating employee or manager within 20 working days from their date of receipt. RFRs to be forwarded to Headquarters, including all positions at grade EAS-22 and above, must be processed and dispatched within five working days from their date of receipt. Time spent in securing additional information or clarification is not considered part of these time periods.

.65 Headquarters Office of Compensation. The Headquarters Office of Compensation, Job Evaluation Division, must process RFRs and dispatch the responses back to the Regional Compensation Division within 30 working days from the date of receipt of the RFRs.

226 Special Review Panel

226.1 Background Information

.11 A Special Review Panel at Headquarters reviews each case in which an employee in the EAS, PMS, or NCD pay schedule requests the review due to a belief that substantive information was overlooked in the initial review process. The Special Review Panel is composed of at least three officials with the rank of department or office head (or equivalent), plus an executive secretary. No official may participate on a Panel hearing a case from the functional area to which the official is assigned.

.12 The Executive Secretary, a non-voting member of the Panel who reports directly to the Senior Assistant Postmaster General, Employee and Labor Relations Group (a) processes the requests for Panel review, (b) sets up the Panel, (c) schedules the meetings, (d) compiles information necessary for decision-making, (e) maintains necessary liaison with the management associations and concerned Postal Service departments and offices, and (f) develops review responses to be sent to the employees.

226.2 Incumbent-Initiated Requests

.21 The employee must file a request for Panel review within 60 calendar days after the date of mailing of the initial review decision by the Regional Compensation Division.

.22 Special Review Panel requests should be sent directly to:

Senior Assistant Postmaster General
Employee and Labor Relations Group
U. S. Postal Service (Room 9990)
Washington, D. C. 20260

.23 A copy of the initial review response, containing the case reference number, should be included with the request. If this is not possible, the case reference number must be provided. Any pertinent information not included in the initial request should also be provided.

.24 Any employee wishing to be represented by a postal management association should so designate on the Panel review request and send a copy of the request to the designated association. The designated association will furnish the Panel with a position paper as soon as possible after receipt of the copy of the employee's review request.

.25 The Special Review Panel meets as frequently as possible to review the pending requests. All decisions made by the Special Review Panel are final.

.26 The Civil Service Commission no longer processes position classification (job evaluation) appeals for Postal Service employees.

226.3 Manager-Initiated Requests

A decision by the Regional Compensation Division or the Headquarters Office of Compensation on RFRs initiated by management is final and may not be appealed. Therefore, the Special Review Panel does not accept management-initiated requests.

226.4 Other Requests

The Senior Assistant Postmaster General, Employee and Labor Relations Group, may request the Special Review Panel to review the evaluation of any position whether or not the incumbent has requested Panel review.

227 Forms—Instructions and Samples

227.1 Form 6800, Standard Position Description

.11 Purpose. The Form 6800, *Standard Position Description* (SPD) (Exhibit 227.1) is the formal document for disseminating concise, factual information regarding one or more non-bargaining unit jobs. It is developed by the Job Evaluation Division and provides all of the significant details essential to understanding the position. The Form 6800 format is standard. The position description is designed to serve both management and the postal employees assigned to the position.

.12 Heading Entries. The following four entries appear in the heading of the SPD:

a. Original Date of Issue. An administrative entry.

b. Occupation Code. Composed of two four-character numbers separated by a dash. The first four characters denote the occupation. The fifth character denotes the work category to which the position is assigned (managerial, supervisory, administrative, administrative-technical, technical craft, other). The last three characters denote the sequence in which the SPD was prepared.

c. Date of this Revision. An administrative entry.

d. Job Title. Describes the position and is different from the title of any other position. It is based on the information contained in the SPD.

.13 Body. The substantive parts of the SPD describe the position's functions, activities, and tasks in general terms so that the SPD will cover a number of similar jobs. It does not place heavy emphasis on quantifiable elements. It does not include any specific data such as number of years of experience required, college degrees desired, number of personnel supervised, or amount of dollars for which the incumbent of the position is responsible. This type of information is necessary on the Form 6802-X, however, to provide an adequate picture of the specific duty assignment being described.

227.2 Form 6802-X, Request for Job Evaluation Action

.21 Purpose. The Form 6802-X, *Request for Job Evaluation Action* (Exhibit 227.2) is an official request by a manager, or supervisor for job evaluation action by the Regional Compensation Division or the Headquarters Office of Compensation (Job Evaluation Division). The postal installation manager is usually the initiating official. An exception to this rule is an incumbent-initiated RFR (see 225). The Job Evaluation Division may also develop a Form 6802-X as a result of an occupation study, review of positions involved in a reorganization, or normal monitoring of the system.

.22 Heading Entries. Enter the following items into the heading of the Form 6802-X:

a. Date Prepared. The date that the Form 6802-X is typed in final form.

b. Facility (Item 1). The proper name of the organizational unit to which the position being described is attached. Provide enough information to clearly indicate where the position is located. Possible entries include Division Offices, Branches, Sub-stations, Post Offices and special Staff Offices. Record the entry in ascending order, up the chain of authority. For example: Happy Station/Dallas Post Office.

c. Location (Item 2). The standard mailing address, including the specific ZIP code of the facility.

d. Present Title/Grade (Item 3). The current and complete officially authorized position title and the current grade of the position.

e. Recommended Title (Item 4). Use is optional. May be used if the recommended title will provide guidance as to the kind of work described.

f. Prepared by (Item 5). The name and title of the person preparing the request.

g. Requesting Installation Head (Item 6). The name, title and signature of the individual in charge of the installation, the initiating official.

h. Management Sectional Center Facility (Item 7). The name, title and signature of the appropriate MSC official. Also enter the approval date.

i. District (Item 8). The name, title and signature of the appropriate district official, and the approval date.

j. Region (Item 9). The name, title and signature of the appropriate regional management official, and the approval date.

k. Regional Compensation Office (Item 10). The name and signature of the Regional Compensation Division General Manager, and the approval date.

l. Senior Assistant Postmaster General (Item 11). The name and signature of the cognizant Senior Assistant Postmaster General, and the approval date.

m. Headquarters Office of Job Evaluation (Item 12). The name and signature of the General Manager, Headquarters Job Evaluation Division, and the approval date.

.23 Body

Use the sample form in Exhibit 227.2 as a guide for preparing the remainder of the Form 6802-X. Do not write a methods study or describe how the incumbent occupies time during the week. Do not write about the employee or the quality or quantity of performance. Instead, develop an accurate, concise description of the job, including (a) end results required, (b) the specific responsibilities in terms of their independence, scope and magnitude, (c) the major duties performed, the basic schooling, skill and experience necessary for job proficiency, (d) and the conditions under which the job is performed, in terms of safety, atmosphere (heat, dust, noise), and physical effort required.

.24 Signature Requirements. Signatures are required on the original copy only.

227.3 Staffing Change Notice

.31 Purpose. Staffing Change Notices (Exhibit 227.4) notify the initiating office of regional job evaluation decisions and contain title, grade, and occupation code information. No personnel action may be initiated for any affected position until a staffing change notice is received. The original notice must accompany the request for personnel action, and the effective date of the action must always be subsequent to the date of the notice.

.32 Use. The staffing change notice is used by the regional compensation divisions, in lieu of M/As, to notify the initiating offices of decisions made at the regional level.

227.4 Memoranda of Authorization (M/As)

.41 Purpose. Memoranda of Authorization (M/As) notify the initiating office of Headquarters job evaluation decisions and contain title, grade, and occupational code information. No personnel action may be initiated for any affected position until an M/A is received. The original memorandum must accompany the request for personnel action, and the effective date of the action must always be subsequent to the date of the M/A.

.42 Use. Three types of M/As are initiated by the Job Evaluation Division, Office of Compensation. The original is sent to the initiating office and a copy is sent to the appropriate regional compensation division and to the Headquarters Office of Organization Management. The three types of memoranda are:

a. Request for Job Evaluation Action (Exhibit 227.42a). Used to respond to requests for job evaluation action submitted individually or as part of a reorganization submission (see part 222).

b. JEP Memorandum of Authorization (Exhibit 227.42b). Used to respond to requests for review (see part 225). Notifies management of the corrective action required as a result of the review decision.

c. Memorandum of Authorization Concerning An Individual Employee (Exhibit 227.42c). Notifies the appropriate management officials of required management action resulting from a study or review initiated by the Job Evaluation Division—rather than from a request initiated by management.

U. S. POSTAL SERVICE

STANDARD POSITION DESCRIPTION

ORIGINAL DATE OF ISSUE	OCCUPATION CODE	DATE OF THIS REVISION

DISTRIBUTION

U. S. DOCUMENTS NEWARK LIBRARY

FUNCTION APPROVAL

SIGNATURE	TITLE	DATE

JOB EVALUATION APPROVAL

SIGNATURE	TITLE	DATE

JOB TITLE

I. FUNCTIONAL PURPOSE

Directs
Manages
Supervises
Performs

functions
activities
tasks

for the purpose of - in support of a Major Function.

II. RESPONSIBILITY FOR

1. Public Contact

Makes
Has

(frequency of) contact with (groups, individuals) for the purpose of---.

When determining frequency:
Continual--- most of the day.
Frequent --- many times per day.
Regular ---- several times per week.
Occasional - several times per month.
Remote ----- several times per year.

PS Form
Nov. 1972 6800

Exhibit 227.1—Form 6800 (p.1)

II. RESPONSIBILITY FOR (Continued)

2. Assets (Facilities/Equipments/Materials/Cash)

Exercises normal protective care of equipment and materials used.
or
Exercises responsibility for (type of assests) of (range of) value - or
Exercises supervisory responsibility for...
Exercises managerial responsibility for...

Range of Value
Small ------ up to $500
Medium ----- $500 - $6,000
Large ------ $6,000 - $100,000
Very Large - $100,000 or over

3. Personnel

Takes personnel actions for and
supervises
manages
directs
a (size) group of

professional
technical
administrative
clerical
employees through a (size) staff of subordinate supervisors.

Size
Very Small -- 1 - 4
Small ------- 5 - 10
Medium ------ 11 - 45
Large ------- 46 - 150
Very Large -- Over 150

4. Work of Others

Issues guidelines ------------
Provides technical guidance --
Oversees the activities of ---

5. Budget

Directs the preparation of
Prepares and controls
Monitors
a (size) budget.

Size
Small -------- up to $15,000
Medium ------- $15,000 - $100,000
Large -------- $100,000 - $2,000,000
Very Large --- Over $2,000,000

6. Safety

Non-Supervisory:
Exercises a normal regard for the safety of self and others.

Supervisory:
Exercises a normal regard for the safety of self and others, with particular emphasis for ensuring employees compliance with established safety policy and procedures.

Exhibit 227.1—Form 6800 (p.2)

III. DUTIES PERFORMED IN EXECUTING THE RESPONSIBILITIES

1.

Use

(a) "Resolves customer complaints..."
"Responds to customer inquiries"
(b) "Provides direction to a group..."
"Oversees the work..."
"Directs, manages, supervises."
(c) "Develops, establishes, and implements systems, procedures..."

Avoid

(a) "Deals with customer complaints..."
"Handles customer inquiries..."
(b) "Heads up a team of..."
(c) "Sets-up systems and procedures..."

Exhibit 227.1—Form 6800 (p.3)

IV. REQUIREMENTS FOR POSITION

1. Disciplines Acquired through Formal Schooling or Training

From "Know - How" Chart:

Examples:

College level understanding of ----
Associate level understanding of --
Secondary level understanding of --

2. Experience

From "Know - How" Chart

No experience requirements - use -	Entry level.	
Up to three months	Work orientation.	
Three to twelve months	Minimum)	experience in ---.
One to five years	Moderate)	
Five to ten years	Extensive)	
Over ten years	Very extensive)	

3. Physical Requirements

Example: Physically able to perform heavy lifting.

4. Other Desirable Characteristics and Skills

Example: Typing skills desirable.

V. NORMAL WORKING CONDITIONS

When applicable, write "A normal office environment."

VI. DEGREE OF DIRECTION OR SUPERVISION REQUIRED

From "Problem Solving" Chart

Example: Diversified procedures and standards under general supervision.

VII. NORMALLY SUPERVISED BY

Example: Manager, Administration Branch

Exhibit 227.1—Form 6800 (p.4)

U.S. POSTAL SERVICE **REQUEST FOR JOB EVALUATION ACTION**	(Date typed in final form. →	DATE PREPARED
1. FACILITY	**APPROVALS** *(Printed Name & Signature)* 7. SCF	DATE
2. LOCATION *(Full Address and ZIP Code)*	8. DISTRICT	
3. PRESENT TITLE/GRADE *(If new position, so state)*	9. REGION	
4. RECOMMENDED TITLE *(Optional)*	10. REGIONAL COMPENSATION OFFICE	
5. PREPARED BY *(Name and Title)*	11. SAPMG	
6. REQUESTING INSTALLATION HEAD *(Name & Title)*	12. HQ OFFICE OF JOB EVALUATION	

I - FUNCTION AND PURPOSE OF JOB

This statement should be written after the rest of the form is completed; it may be considered to be a concise statement of the job; the reason the job exists. Entries should begin with a verb ("Manages", "Analyzes", "Processes").

II - RESPONSIBILITY FOR (Begin all entries with a verb.)

1. PUBLIC CONTACT

Indicate with whom (outside the Postal Service) the incumbent will have contact; for what purpose the contacts are made; and the frequency of the contacts (e.g. *rare, frequent, constant*).

PS Form Feb. 1973 **6802-X** (Page 1)

Exhibit 227.2—Form 6802-X (p.1)

2. ASSETS (*Facilities/Equipment*) MATERIALS/CASH

Indicate *what* the incumbent is responsible for; the *type* of responsibility (e.g. *supervisory, operational*); and the degree (e.g. *directs purchase of... , normal protective care*).

3. PERSONNEL

Indicate the actual number and kind (e.g. clerical, technical) of employees for which the position has direct personnel responsibility. If none, so indicate.

4. WORK OF OTHERS

Indicate the number and kind (the same as paragraph 3 immediately above) of employees, *not directly supervised*, who are influenced by the position (e.g. *provides technical guidance* or *issues guidelines*). Where none, so indicate.

5. BUDGET

Include the size in dollar value and the degree (e.g. *controls. . .prepares*) of budget responsibility. Few jobs have direct budget responsibility, but some jobs control and allocate established budgets. If none, so indicate.

6. SAFETY

Include any more than ordinary precautions the job may require to insure the safety of the incumbent and/or other employees, (e.g. vehicle operation...strenuous lifting...operation of hazardous equipment...use of firearms).

GPO 863-442

Exhibit 227.2—Form 6802-X (p.2)

III - DUTIES PERFORMED IN EXECUTING THE RESPONSIBILITIES

List all the important duties which are performed in carrying out the responsibilities listed in Section II as clearly and concisely as possible. Follow some logical sequence such as: 1) the order of importance, 2) the actual sequence in which the duties are performed, or 3) the amount of time spent on each duty. Begin each duty statement with a verb (e.g. *Manages, Sorts, Maintains*). Review carefully to insure that no important duty is omitted.

PS Form 6802-X (Page 2)
Feb. 1973

Exhibit 227.2—Form 6802-X (p.3)

IV - REQUIREMENTS

1. DISCIPLINES ACQUIRED THROUGH FORMAL SCHOOLING OR TRAINING

Indicate ~~the~~ type of skills, trade training or formal major course of study (business training, apprenticeship, college degree) needed to perform ~~the~~ duties of the job proficiently.

2. EXPERIENCE

List the kinds of prior and on-the-job experience required to proficiently perform the job.

3. PHYSICAL CHARACTERISTICS

Indicate whether there are any requirements for other than the normal physical demands of work (e.g. heavy lifting, climbing ladders, cramped or restricted work area).

4. DESIRED ADDITIONAL CHARACTERISTICS AND SKILLS

Indicate those skills or traits which would aid the incumbent in performing the job's duties, but are not necessarily required (e.g. ability to pleasantly meet public; pleasant, neat appearance; manual dexterity).

V - NORMAL WORKING CONDITIONS

Indicate inside/outside work area, unusual noise, cleanliness, proper lighting, heat/cold, etc.

VI - DEGREE OF DIRECTION OR SUPERVISION REQUIRED

Indicate whether the job requires very close supervision, general supervision, direction, guidance, etc. Also indicate whether written guidelines are available and how detailed they are.

VII - SUPERVISED BY TITLE/GRADE

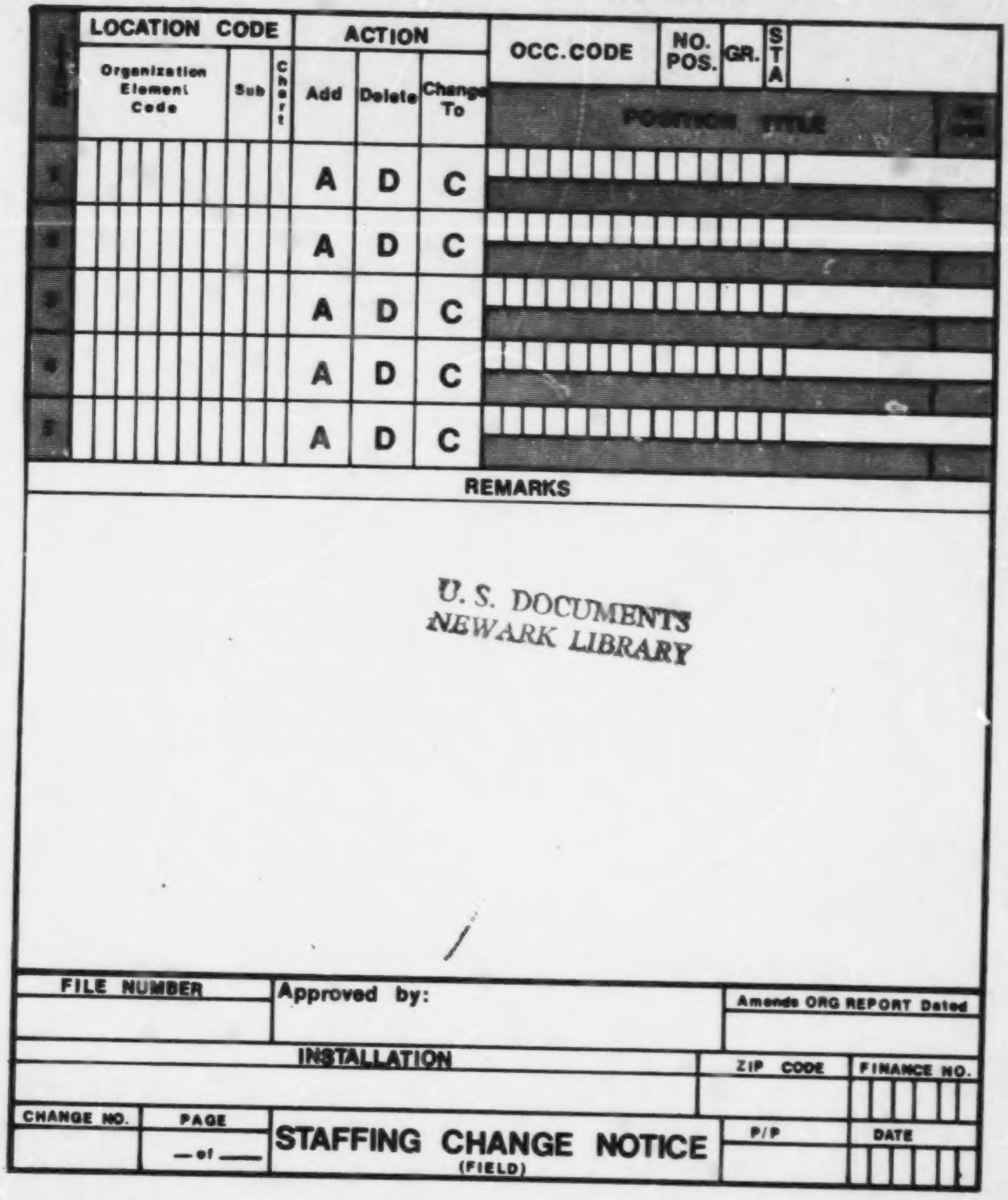
Indicate the full official title and grade of the supervisor of this job.

VIII - OTHER PERTINENT DATA

Provide any additional information which would be required to fully understand the function and purpose of the job.

GPO 860-442

Exhibit 227.2—Form 6802-X (p.4)



[illegible]	LOCATION CODE			ACTION			OCC. CODE	NO. POS.	GR.	STA	
	Organization Element Code	Sub	Chart	Add	Delete	Change To	POSITION TITLE				[illegible]
1				A	D	C					
[illegible]				A	D	C					
[illegible]				A	D	C					
[illegible]				A	D	C					
5				A	D	C					

REMARKS

FILE NUMBER	Approved by:	Amends ORG REPORT Dated
INSTALLATION		ZIP CODE FINANCE NO.
CHANGE NO. PAGE — of —	STAFFING CHANGE NOTICE (FIELD)	P/P DATE

Exhibit 227.3—Staffing Change Notice

UNITED STATES POSTAL SERVICE
Washington, DC 20260

OUR REF:

DATE:

SUBJECT: Request for Job Evaluation Action.

TO:

Your "Request for Job Evaluation Action", and/or PS Form 6802-X, functionally titled:

Organization Location:

____

____

____

has been processed. This position has been matched, or processed and evaluated to the following official Title, Grade and Occupation Code:

Title: ________________________________

Grade: ________________

Occupation Code: ________________

THIS IS NOT AN AUTHORIZATION TO FILL THIS POSITION. However, a copy of this form must accompany any authorized personnel action request.

J. R. Shoop, General Manager
Job Evaluation Division
Office of Compensation

cc: Office of Organization Management

Exhibit 227.42a—Request for Job Evaluation Action

UNITED STATES POSTAL SERVICE

Washington, DC 20260

OUR REF:

DATE:

SUBJECT: JEP Memorandum of Authorization

TO:

This is in response to a Request for Review concerning the position and/or employee cited below. The information in the request provided sufficient substantive facts to warrant the change indicated.

You are requested to take corrective action by means of a Form 52 or Form 2526, Request for Personnel Action, which will correct one of the following conditions:

( ) A change due to reevaluation of the position;
( ) Mismatch of employee to Standard Position Description.

Process Form 52 or Form 2526 through normal channels with a copy of this authorization memorandum attached.

Please use the information provided in this memorandum in discussing the results of this review with the subject employee.

NAME OF EMPLOYEE:	Soc. Sec. No.:
Change From:	To:
Title:	Title:
Grade:	Grade:
Occ. Code:	Occ. Code:
	Effective Date:

J. R. Shoop, General Manager
Job Evaluation Division
Office of Compensation

Exhibit 227.42b—JEP Memorandum of Authorization

UNITED STATES POSTAL SERVICE

Washington, DC 20260

OUR REF: AA-

DATE:

SUBJECT: Memorandum of Authorization Concerning
Employee: SS No:
Location:

TO:

As a result of a review of our records or completion of a recent occupational study, you are requested to take necessary personnel action in the form of a Standard Form 52 or POD Form 2526, Request for Personnel Action. The preparation of one of these two forms will correct one of the following conditions:

( ) Make change due to reevaluation or restructuring of position.
( ) Make change to title.
( ) Make change to occupation code.
( )

Process a personnel action request through normal channels with a copy of this authorization memorandum.

Change From:	To:
Title:	Title:
Grade:	Grade:
Occ. Code:	Occ. Code:
	Effective Date:

J. R. Shoop, General Manager
Job Evaluation Division
Office of Compensation

cc: Office of Organization Management

(08/11/76)

Exhibit 227.42c—Memorandum of Authorization Concerning An Individual Employee

230 Bargaining Unit Positions Covered by National Agreement

231 Background Information

231.1 Types of Position Descriptions. The Postal Service provides three types of position descriptions for bargaining unit employees covered by the National Agreement; those covering:

a. Key Positions (KP). Key positions are benchmarks established through legislation to reflect clearly the various level distinctions and are deliberately defined in general terms to describe the duties and responsibilities of more than one employee.

b. Standard Positions (SP). These are based on key positions, and are more specific but still deliberately defined in general terms to describe the duties and responsibilities of more than one employee.

c. Individual Positions (IP). These are based on key positions, but are usually defined in terms that describe the duties and responsibilities of an individual employee. The resulting definition, however, may also accurately describe the duties and responsibilities of additional employees.

231.2 Purpose of Position Description. The purpose of a position description is to describe three components of a position: (a) the primary assignment or basic function, (b) the tasks and skills involved in carrying out the primary assignment, and (c) the organizational relationship. These components constitute the basis for comparing the position with key positions and for aligning it with other positions in the Postal Service.

231.3 Purpose of Position Title. The title assigned to the position indicates the kind of work described in the position description and is an aid in the recruitment and selection of employees. The title does not denote the pay grade.

232 Requests for Ranking of Positions

232.1 Initiating Requests

.11 Conditions. When the duties and responsibilities of one of these positions change, the installation head must review the position to determine if the ranking or identification is affected. If the previous ranking or identification no longer applies, the installation head reevaluates the position.

.12 Restrictions and Exceptions. Installation heads have the authority to rank authorized positions that match key or standard positions in PS-5 and below. In these instances, a Form 820, *Request for Ranking of Position,* is not required.

.13 Responsibility. If the changed position cannot be matched to an existing position within the installation head's authority, it must be described on Form 820.

232.2 Documentation Requirements

.21 Preparation of Form 820. Form 820, *Request for Ranking of Position* (Exhibit 236), is used both to establish and to review the ranking of all positions PS-6 and above. The description must be a true statement of the position's duties. Copies of key or standard position descriptions will not suffice. The description must follow the style and arrangement of key position descriptions. Use a continuation sheet if necessary. The installation head must prepare the Form 820 in accordance with the instructions contained in part 236.

.22 Signature. The installation head is the initiating official and must sign the original of the Form 820.

.23 Copies. The Form 820 must be prepared in triplicate (original and two copies).

.24 Routing. The installation head forwards the original and the regional compensation division copy of the completed Form 820 to the next management level (see 213).

232.3 Sign-Off at Management Review Levels

.31 Managers at each level of review (see 213) indicate that they concur with the recommendations of the initiating office by signing and dating the original of the Form 820. The signature authorizes utilization of the position.

.32 If reviewing managers do not concur with the recommendations of the initiating office, they return the Form 820 unsigned, through normal management channels, with a written explanation of why the position was disapproved, and stating the appropriate placement of the position.

232.4 Action by Regional Compensation Division

.41 Regional compensation divisions are authorized to rank positions to existing key and standard positions. Any Form 820 that has not been signed off at the required management levels is not ranked. Form 820 is not valid until the *For Departmental Use Only* block is completed.

.42 If the position cannot be matched to an existing key or standard position, the regional compensation division forwards the Form 820 to the Headquarters Office of Compensation for ranking action.

.43 If the position is ranked by the regional compensation division, the original of the Form 820, signed and dated, is returned to the initiating official through normal management channels.

232.5 Action by Headquarters Office of Compensation

.51 Ranking of Positions. The Headquarters Office of Compensation, Job Evaluation Division, (a) ranks the position to an existing key, standard or individual position, (b) revises an existing position, or (c) establishes a new standard or individual position, as appropriate.

.52 Coordination with Labor Relations Department. After the ranking action is completed, the Job Evaluation Division forwards the newly developed or revised position description to the Labor Relations Department for review, craft determination, and approval.

.53 Notification of Initiating Official. After all approvals are obtained, the Form 820 is returned to the initiating official through the Regional compensation division.

233 Evaluation of Bargaining Unit Positions

233.1 Position Delineation

Evaluating a position requires a clear understanding of the position's duties, responsibilities and work requirements. Positions must be carefully described to clarify assignments so that equal pay for substantially equal work may be achieved.

233.2 Basis for Ranking Positions

.21 Positions are ranked solely in terms of the level of duties, responsibilities, and work requirements, as compared to the key positions in Chapter B of Handbook P-1. The evaluator considers the difficulty of the work to be performed; the degree of responsibility to be exercised; the scope and variety of tasks involved; and the conditions under which the work will be performed.

.22 The incumbent's knowledges, skills, and abilities are not considered in the evaluation. The incumbent's previous position title and the designation of the roster from which the employee will be selected are also not considered in determining the rank of the position.

233.3 Evaluation of New Positions

When the duties and responsibilities of a newly created position cannot be matched to an existing key or standard position within the authority of the installation head or the regional compensation division, the Form 820 is sent to the Headquarters Office of Compensation for appropriate action. The Headquarters Office of Compensation, Job Evaluation Division, matches the position to an existing key, standard or individual position if possible. It may revise an existing standard position to incorporate the duties and responsibilities of the new position. It may establish a new standard or individual position when matching or revision is not possible.

233.4 Criteria for Evaluating Mixed Assignments

.41 Regularly Scheduled on a Daily Basis. When a full-time employee is scheduled every workday to perform the work of two separately defined positions in two different grades, the employee is placed in the position of the higher grade. The duties of the lower grade position, while included in the work assignment, represent extra duties in relation to the official position and do not affect the pay grade of the employee.

.42 Regularly Scheduled on Intermittent Days in Two Positions. When a full-time employee is regularly scheduled on intermittent workdays to perform the work of two separate positions in different grades, the employee is placed in the position in which more than 50 percent of the time is spent. If the time is equally divided, the employee is placed in the higher grade position.

.43 Regularly Scheduled on Intermittent Days to More Than Two Positions. When a full-time employee is regularly scheduled on intermittent days to perform the work of more than two positions in different grades, and less than 50 percent of the time is spent in a single position, the total work assignment of the employee is separately defined as a position and ranked in an appropriate grade.

.44 Regularly Scheduled to Perform Work in Two or More Positions in the Same Grade. When a full-time employee is regularly scheduled to perform the work of two or more positions in the same salary grade, the employee is assigned to the position in which more than 50 percent of the time is spent. If the work is evenly divided between two positions, or if less than 50 percent of the time is spent in a single position, the work assignment of the employee is separately defined and an appropriate title is assigned.

234 Position Audits

Post audits of positions may be made to determine whether the duties and responsibilities are properly ranked and whether the position is properly identified. Any position evaluated under the PS schedule is subject to audit at any time as directed by the Senior Assistant Postmaster General, Employee and Labor Relations Group or by a Regional Postmaster General. An audit may be made by correspondence or by interview and site examination. The above officials direct appropriate action whenever a position is found to be incorrectly ranked or identified.

235 Appeals

Employees whose positions are covered by a collective bargaining agreement may grieve the salary level, title or identification of their positions through the grievance-arbitration procedures of the agreement.

236 Form 820—Instructions and Sample

236.1 Purpose. Form 820, Request for Ranking of Position, is used both to establish and to review the ranking of all positions.

236.2 Heading Entries. Enter the following items of information on the form:

a. Name of Office or Organization (Item 1). Insert the name of the post office or other postal installation where the position exists.

b. Suggested Title of Position (Item 2). Enter the title proposed for the position to be ranked.

c. Recommended Salary Level (Item 3). Enter the PS level from Item 6D on the back of the form.

d. Date of Submission (Item 4A). Enter the date on which the Request for Ranking is submitted and the reason.

236.3 Body

.31 Basic Function (Item 5A). Describe the basic function of the position. This should be a concise statement of the primary purpose for creating the position. For example, "Makes general repairs on a variety of postal and building equipment on a tour when no other mechanics are present; performs clerical tasks related to the scheduling, control and reporting of plant maintenance activities." Do not attempt to describe the details of the position in this section.

.32 Duties and Responsibilities (Item 5B). Enter the individual tasks performed in carrying out the basic function:

a. Explain the tasks in sufficient detail to provide a clear understanding of the work in terms of the evaluation factors given in Item 6—for example, the various trade fields in which the work is performed; the type of equipment worked on; the hand and power tools commonly used; the nature and extent of the repairs made; and the work conditions (working in and around moving machinery, bench work, outside work, etc.).

b. Explain responsibilities in terms of decisions, such as removing needed equipment from service for repair or requesting additional mechanical or supervisory assistance.

c. Note skills, knowledge or experience required not clearly apparent from the description of the tasks. Do not show the particular skills possessed by an incumbent or prospective incumbent unless they are necessary to the efficient accomplishment of the basic function.

d. Note duties and responsibilities assigned to positions which are in addition to the basic function. If possible, estimate the percentage of time devoted to the separate tasks. Also note tasks which are not performed on a day-to-day basis, but are performed at stated intervals (quarterly, semi-annually, annually, etc.), and state the time intervals.

e. If the position is composed of a combination of tasks requiring materially different skills and knowledges, estimate the percentage of time to be devoted to the different areas.

f. Avoid ambiguous terms such as assists or processes, unless an explanation is given of the work tasks involved in the assisting or processing.

.33 Organizational Relationships (Item 5C). Give the title and grade of the immediate supervisor of the position:

a. If the immediate supervisor works a different tour from that of the incumbent, give the supervisor's tour time.

b. If the supervisor works in a different building, note this.

c. Explain the nature and extent of instructions received before, during and after performance of tasks; the guidelines and procedures available that directly affect the work; and the nature and extent of review made of the finished work.

d. If the finished work is reviewed and passed on by more than one supervisor in the chain of command, note this.

236.4 Evaluation Report (Item 6)

.41 In choosing a position for comparison, select a position in the installation which has been ranked. Whenever possible, the position selected should be closely related in function to the position being described. If no such position exists, select a position similar in terms of work processes or other characteristics.

.42 Rank in comparative terms, not by positive ranking of the factors listed—for example, if neither position involves contact with the public in any way, check line 4D as approximately the same. The comparative values attributable to each factor should reflect the best judgment of the evaluator, based on his knowledge of both the comparison position and the position being described. After completing Items 6B and 6C, where appropriate, enter the PS level recommendation in Item 6D.

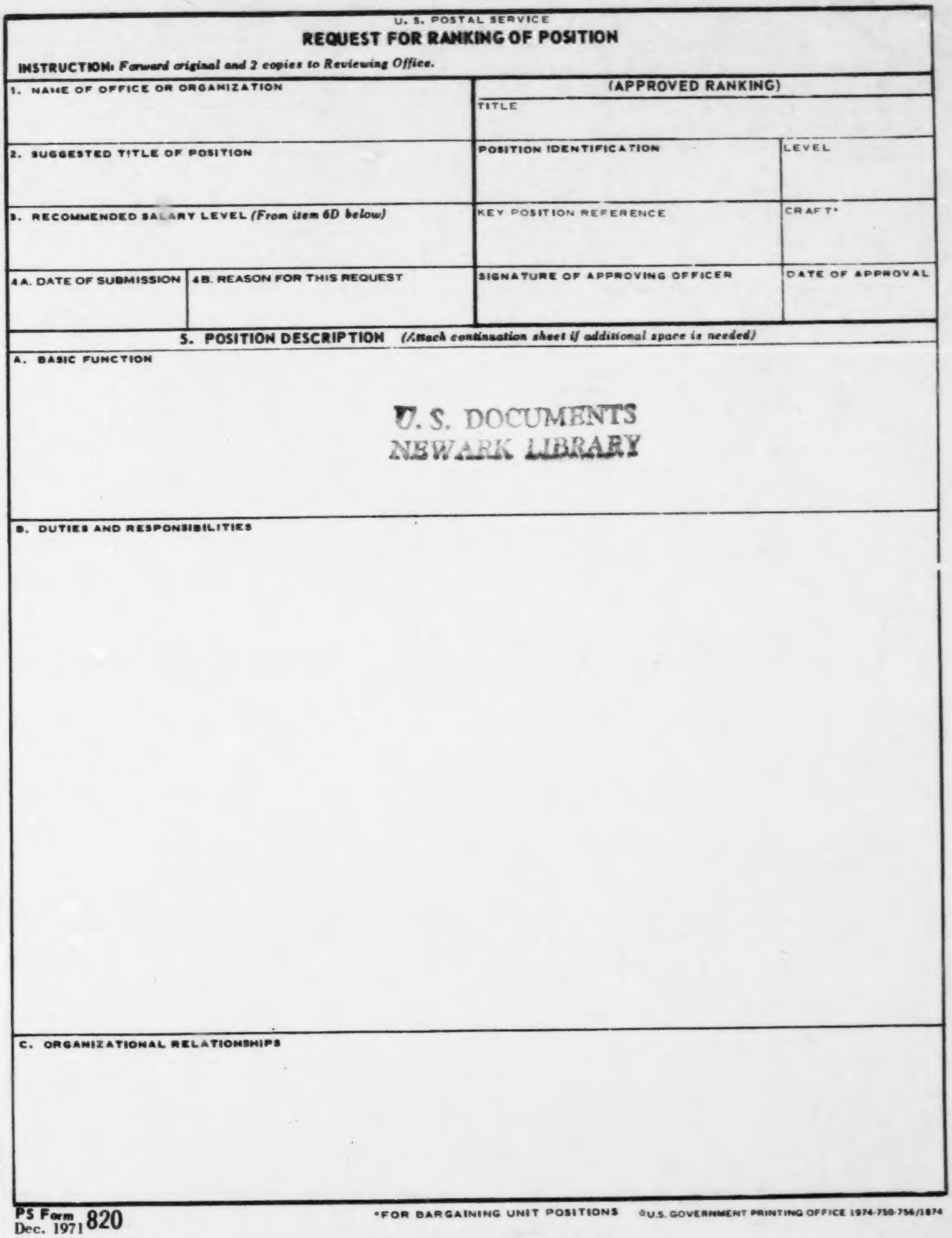
236.5 Date and Signature of Authorizing Officer (Item 8B and 8C)

The installation head certifies to the accuracy and completeness of the Form 820 by signing and dating it. The Form 820 should be executed with the same care as that used in other official certifications.

240 Bargaining Unit Positions Not Covered by National Agreement

241 Some bargaining unit positions are established or changed by submission of Form 6802-X, *Request for Job Evaluation Action.* Other bargaining unit positions are established or changed through the use of the Form 820, *Request for Ranking of Position.* Procedures for preparation of these documents are set forth in Parts 220 and 230 of this Manual.

242 Other procedures contained in Parts 220 and 230 of this Manual may or may not be applicable, depending on the individual bargaining unit. Specific information may be obtained from the Labor Relations Department.



U. S. POSTAL SERVICE

REQUEST FOR RANKING OF POSITION

INSTRUCTION: *Forward original and 2 copies to Reviewing Office.*

1. NAME OF OFFICE OR ORGANIZATION		(APPROVED RANKING) TITLE	
2. SUGGESTED TITLE OF POSITION		POSITION IDENTIFICATION	LEVEL
3. RECOMMENDED SALARY LEVEL *(From item 6D below)*		KEY POSITION REFERENCE	CRAFT*
4A. DATE OF SUBMISSION	4B. REASON FOR THIS REQUEST	SIGNATURE OF APPROVING OFFICER	DATE OF APPROVAL

5. POSITION DESCRIPTION *(Attach continuation sheet if additional space is needed)*

A. BASIC FUNCTION

B. DUTIES AND RESPONSIBILITIES

C. ORGANIZATIONAL RELATIONSHIPS

PS Form 820
Dec. 1971

*FOR BARGAINING UNIT POSITIONS

☆U.S. GOVERNMENT PRINTING OFFICE 1974-750-756/1874

Exhibit 236—Form 820 (p. 1)

6. EVALUATION REPORT

INSTRUCTIONS - For comparative purposes, select an existing ranked position in the office or organization which is functionally related to the position being evaluated. If no such position exists, select from a related functional area the existing ranked position most closely comparable in respect to types of duties responsibilities, and work requirements.

A. TITLE OF COMPARISON POSITION

KEY POSITION OR STANDARD POSITION NUMBER ASSIGNED TO COMPARISON POSITION	LEVEL OF COMPARISON POSITION

B. COMPARATIVE ANALYSIS *(Compare the position for which a ranking is requested against the comparison position by entering a checkmark in the appropriate column for each component).*

LINE NO.	DESCRIPTIVE COMPARISON (COMPONENTS OF NEW POSITION)	RANK IN RELATION TO COMPARISON POSITION				
		APPROXIMATELY THE SAME	LOWER DEGREE		HIGHER DEGREE	
			BELOW	SUBSTANTIALLY BELOW	ABOVE	SUBSTANTIALLY ABOVE
1	DIFFICULTY OF WORK					
2	RESPONSIBILITY EXERCISED					
3	SCOPE AND VARIETY OF TASKS					
4A	CONDITIONS OF PERFORMANCE, INCLUDING: PHYSICAL REQUIREMENTS OR HAZARDS					
4B	SKILL OR KNOWLEDGE REQUIREMENTS					
4C	EXPERIENCE REQUIREMENTS					
4D	PUBLIC RELATIONS REQUIREMENTS					

C. SPECIFY ANY OTHER CONSIDERATIONS OR UNUSUAL CONDITIONS OR CIRCUMSTANCES WHICH MAY HAVE A BEARING ON THE SALARY LEVEL OF THE POSITION FOR WHICH RANKING IS REQUESTED.

D. RECOMMENDATION

On the basis of the analysis completed above, I recommend that this position be placed in

7A. DATE OF SIGNATURE	7B. SIGNATURE OF AUTHORIZED OFFICER

8A. *(For use of Reviewing Office)* (If you object to any phase of the assignment, please notify the Postmaster of the nonauthorized features and caution him concerning permitting the duties to be performed. In your notification avoid attempting to designate any task or tasks by level.

8B. DATE OF SIGNATURE	8C. SIGNATURE OF REVIEWING OFFICER

Exhibit 236—Form 820 (p. 2)

Chapter 3
Employment and Placement

310 General Provisions

311 Functional Responsibilities

311.1 Basic Principles

.11 **Best Qualified Personnel.** Employment and placement functions are designed to ensure that the recruitment, assignment, promotion, motivation, training, development, and retention procedures result in the best qualified personnel to carry out the mission of the Postal Service with maximum productivity and economy of operations.

.12 **Prohibition of Discrimination.** The recruitment, assignment, promotion and training functions of the Postal Service may not discriminate for any nonmerit reason such as race, color, religion, sex, age, union or political affiliations, marital status, or physical impairment (with respect to any position which may be efficiently performed by a person with the physical impairment). Equal opportunity is afforded to all employees. Position changes and advancement may be based solely on merit, applicable experience, knowledge, skills, abilities and the physical requirements specified for the vacancy being filled.

.13 **Prohibition of Political Recommendations.** The Law (39 U.S.C. 1002) prohibits political and certain other recommendations for appointments, promotions, assignments, transfers, or designations of persons in the USPS.

311.2 Administration

.21 **Assistant Postmaster General, Employee Relations,** develops policies, methods and procedures for recruiting, selecting, appointing, assigning, reassigning and promoting employees.

.22 **Regional Director, Employee and Labor Relations (E & LR),** implements policies, methods and procedures for recruiting, selecting, appointing, assigning, reassigning and promoting employees within the region in support of USPS goals and objectives, and conducts audits of these functions.

.23 **Field Manager, National Test Administration Center,** stocks and distributes examination material, provides support programs, scores examinations, generates reports and statistical data as required.

.24 **Installation Head at CAG Offices A Through J,** supports the postal examination program and applicable national and regional guidelines for recruitment, selection, promotion, assignment and reassignment.

.25 **Examinations Specialist,** supports postal examination program within the scope of established guidelines.

.26 **Postal Medical Officer,** determines whether or not eligibles meet medical requirements for employment.

.27 **Postal Inspection Service,** investigates instances of irregularities in the employment and placement process and related activities, as required.

311.3 Employee Classifications

.31 Non-Bargaining Unit Employees

.311 Full-Time Salaried. The following salaried employees are employed according to procedures established by the USPS and are paid on an annual rate basis:

a. Officers—Postmaster General, Deputy Postmaster General, Regional Postmasters General, Senior Assistant Postmasters General, General Counsel, Assistant Postmasters General, Judicial Officer, Consumer Advocate, Treasurer, Controller, Executive Assistant to the Postmaster General and the Chief Postal Inspector.

b. Exempt Salaried—Career employees who are exempt from FLSA provisions and not limited to working a specified number of hours in a service week, and are expected to work at least 40 hours per week fulfilling the responsibilities of their position.

c. Nonexempt Salaried—Career employees who are non-exempt (covered) from FLSA provisions. These employees are assigned to work schedules consisting of five 8-hour days in a service week.

.312 Part-Time Salaried. Career hourly rate employees assigned to regular work schedules of less than 40 hours in a service week.

.313 Supplemental

a. Temporary—Non-career employees with a limited term appointment up to, but not to exceed, one year who perform duties assigned to non-bargaining unit positions. This includes Emergency Substitute Rural Carriers.

b. Casual—Non-career employees with limited term appointments used as a supplemental work force, as described in the National Agreement, or in other Postal Service collective bargaining agreements, who perform duties assigned to bargaining unit positions.

.32 Bargaining Unit Employees

.321 Full-Time. Career employees paid an annual salary, assigned to work schedules of five 8-hour days in a service week. For administrative and reporting purposes, regular rural carriers who serve on an established rural route on the basis of 6 days, or on a heavy route for 5, 5 1/2 or 6 days in a service week, are considered to be full-time employees.

.322 Part-Time

a. Part-Time Regular—Career hourly rate employees assigned to work regular schedules of less than 40 hours in a service week.

b. Part-Time Flexible—Career hourly rate employees available to work flexible hours as assigned by the Postal Servie during the course of a service week.

.323 Substitute Rural Carrier. Non-career rural Carriers, with an appointment without time limitation, assigned to serve as a substitute on 1 to 3 established rural routes in the absence of a regular rural carrier. This service may be as a leave replacement and/or covering a vacant route pending the selection of a rural carrier.

.324 Auxiliary Rural Carrier. Persons selected to serve an auxiliary rural route (one that has not been evaluated and designated as a regular rural route). Normally, auxiliary rural routes are served by Substitute Rural Carriers.

312 Qualification Standards

312.1 General

All candidates must meet appropriate standards for positions. The statements of skills, knowledges, and abilities establish the minimum requirements for these positions. Qualifications of all eligible applicants must be fully and fairly assessed without regard to race, color, religion, sex, age, or national origin.

312.2 Sources

.21 Handbook P–12A. Handbook P–12A, *Qualification Standards for USPS Positions,* contains qualification standards for Postal Service non–bargaining unit positions and those bargaining unit positions which are not filled through in-service procedures.

.22 Handbook P–12B. Handbook P–12B, *Qualification Standards for Bargaining Unit Positions* contains qualification standards for all USPS bargaining unit positions. The application of these standards must be consistent with the applicable provisions of the appropriate collective bargaining agreement.

.23 Handbook P–12C. Handbook P–12C, *Qualification Standards for Postal Data Center Positions,* establishes qualification standards applicable to Postal Service positions at the PDCs for bargaining and non–bargaining unit positions.

313 Collection, Use and Disclosure of Personnel Information Under the Privacy Act

313.1 Privacy Act Requirements

.11 The Privacy Act guidelines presented in this part only highlight the application of privacy to employment and placement record-keeping activities. Complete requirements and guidelines appear in Chapter 3 of the *Administrative Support Manual (ASM).*

.12 Under the Privacy Act of 1974, the Postal Service must:

a. Upon specific request, permit an individual to (1) know whether the Postal Service has records filed or cross-indexed under his name, (2) gain access to and have a copy made of most such records pertaining to the individual, (3) request amendment or correction of those records, and (4) know the purpose for and most disclosures made of those records.

b. Comply with certain requirements regarding the collection, use, disclosure, and safeguarding of information about individuals.

c. Publicly announce, in advance of implementation, any proposal to establish, modify, or alter the uses of any Privacy Act system of records containing information about individuals.

313.2 Responsibilities of Records Custodian

.21 Compliance with Laws and Regulations. The head of a postal installation in the field or of a group or department at Headquarters is the official custodian of all the records in the custody of that installation, group, or department. The Records Custodian is responsible for insuring compliance with all laws, and Postal Service regulations and instructions pertaining to such records. (Office of Personnel Management instructions regarding the Privacy Act do not apply to the Postal Service.)

.22 Safeguarding Information

.221 Appropriate safeguards, such as record controls, restrictions on access and lockable cabinets must be provided to insure the security and confidentiality of records that contain information about individuals.

.222 Records containing information about individuals must be burned or shredded when their retention or other disposition is not appropriate.

.223 Employees who have access to records containing information about individuals must be instructed in the local procedures for safeguarding such information and advised of the penalties provided by the Privacy Act.

313.3 Penalties

.31 The Privacy Act provides criminal penalties, including fines up to $5,000, for any officer or employee of a federal agency, including the Postal Service, who:

a. Knowing that disclosure of specific material is prohibited, willfully discloses information about an individual to any person or agency not entitled to receive it.

b. Willfully maintains a system of records containing information about individuals without giving appropriate notice in the Federal Register.

.32 The Privacy Act also provides criminal penalties, including fines up to $5,000, for any person who knowingly and willfully request or obtains any record concerning another individual under false pretenses.

313.4 Authorized Systems of Records

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.41 Individual Records. A Privacy Act system of records means any group of records under the control of the Postal Service, including mailing lists, from which information is retrieved by the name of an individual or by some identifying number or symbol assigned to the *individual*, such as a social security number. (*Individual* in this context does not include proprietorships, businesses, or corporations, which are not covered by the Privacy Act.)

.42 Record Systems Currently Authorized. Required public notice has been published by the Postal Service regarding all the systems of records authorized in the Postal Bulletins, handbooks, publications, and other official directives. Those currently *authorized personnel* records systems which are generally maintained in the field are:

a. Blood Donor Records System.
b. Employee Accident Records.
c. Grievance and Appeals Records for Non-Bargaining Unit Employees.
d. Employee Job Bidding Records.
e. Employee Suggestion Control Records.
f. General Personnel Folders (Related Official Personnel Folders and Records).
g. Medical Records.
h. Performance Awards Records.
i. Preemployment Investigation Records.
j. Personnel Research and Test Validation Records.
k. Postmaster Selection Program Records.
l. Program for Alcholic Recovery (PAR) Records.
m. Recruiting, Examining, Training and Placement Records.
o. Skills Bank (Human Resources) Records.
p. Supervisor's Personnel Records.
q. Vehicle Maintenance and Operators Records.
r. Payroll System Records.
s. Employee Travel Records.
t. Uniform Allowance Program Records.
u. EEO Discrimination Complaint Investigation Records.
v. Office of Workers' Compensation Program (OWCP) Record Copies.

.43 Prohibited Record Keeping

.431 Unauthorized Records. No Postal Service officer or employee may collect or maintain information to be retrieved by the individual's name or identifying symbol except as a part of one of the authorized systems of records, and then only in an authorized manner relevant to the purpose of the system. Note:

a. The complete list of authorized record systems appears in Chapter 3 of the *Administrative Support Manual (ASM)*.

b. See 314.5 of this manual for an explanation of the purpose and use of supervisor's personnel records and personal notes.

.432 Minority Code Records. The USPS is required to collect and maintain minority designation code data on all employees, and submit such reports as may be required by the Office of Personnel Management (OPM). The collection, maintenance and reporting of minority designation code data must be accomplished in accordance with procedures specified in 670. Except for the specific conditions or approved exceptions authorized in writing by the Assistant Postmaster General, Employee Relations, and certain requirements of the formal EEO Complaint investigation process, the linking of an individual employee's name or Social Security account number with a minority designation code is strictly prohibited.

.433 Lists of Bond and Charity Program Participants. No postal facility or postal employee may maintain a listing of participants or non-participants in the U.S. Savings Bond Program, the Combined Federal Campaign, or other similar voluntary programs. Upon request, PDCs send postal managers only statistical reports concerning installation participation.

.44 Obtaining Authorization for New Record Keeping Practices. Postal Service officers and employees who are interested in expanding the uses of personnel records, modifying the structure of personnel record keeping systems, or creating new types of personnel records must obtain approval to do so. Further guidance for obtaining approval is covered in the Administrative Support Manual (ASM).

313.5 Disclosure of Information about an Employee to Others

.51 To the Public. The name, job title, grade, salary, duty status and dates of postal employment of any current or former individual postal employee is available to the public and may be disclosed to any person. No accounting of such disclosures is required.

.52 Credit References. Credit bureaus, federal credit unions, banks, and other commercial firms from which an employee is seeking credit may be given public information and "yes" or "no"responses to verify specific information about the employee. No accounting of these disclosures is necessary. However, if a firm requests additional information, it must submit a release form signed by the individual, and an accounting of the disclosure must be kept (list of employee's names may not be released without approval of the Regional Counsel).

.53 Job References. A prospective employer may be furnished public information and *yes* or *no* responses to verify specific information about the employee. No accounting of these disclosures is necessary. A former employee's reason for leaving, as shown on his resignation or Form 50, may be given if the identity of the requester is verified and a record of the disclosure is kept. If additional information is desired, the requester must submit a release form signed by the employee and an accounting of the disclosure must be kept.

.54 Third Party Disclosures. Information which may be made available to an employee about his own records (see 313.6) may be disclosed to another person, including a spouse, only under one of the following conditions:

a. The person has a signed statement of permission from the individual to obtain the information.

b. The person is invited by the individual to be present when the individual is reviewing his own records, and submits a written statement authorizing the disclosure of information in that person's presence.

c. Showing compelling circumstances affecting the health or safety of an individual, if upon such disclosure, notification is transmitted to the last known address of the individual to whom the record pertains.

.55 Freedom of Information Act Requests. For guidelines regarding the processing and denial of requests under the Freedom of Information Act, see Chapter 3 of the *Administrative Support Manual (ASM)*.

.56 Information for Postal Uses. Personnel information required in the performance of postal duties may be given to any postal employee, or employee of a contractor operating a Postal Service system of records. No accounting of the disclosure is required for such internal uses.

57. Restrictions on Other Disclosures. Custodians must keep an accurate accounting of every other disclosure of information pertaining to an employee. The accounting of disclosures is described in Chapter 3 of the *Administrative Support Manual (ASM)*.

313.6 Requests Made by an Employe Regarding Information Pertaining to Self

.61 For Personnel Information. An individual may review and have copies of any information pertaining to himself that is contained in a record filed or cross-indexed under his name or other identifier, except the following:

a. The name or information identifying an individual who has expressly requested and been promised anonymity in providing information to the Postal Service. This exception applies only to Preemployment Investigation Records; Recruiting, Examining, Training and Placement Records; Postmaster Selection Records, and records originated by the Postal Inspection Service. (The information which cannot be disclosed must be excised from a copy of the record before it can be reviewed or copied by the individual.)

b. Records compiled in reasonable anticipation of civil action or proceeding.

c. Records of the disclosure of information to law enforcement agencies for civil or criminal law enforcement purposes.

d. Information within records that might compromise testing or examination materials.

e. Registers for positions to be filed. (Upon written request an individual may be told whether prospects for appointment are good, fair, or unfavorable.)

f. Medical or psychological records, including those received from the Veterans Administration, Public Health Service, Office of Workers' Compensation, which in the opinion of a medical doctor should not be made directly available to the individual. Such records may be made available to a physician designated in writing by the individual, in which case a disclosure accounting must be filed. (See Handbook P-14, *Health and Medical Service*).

g. Information pertaining to individuals in the form of uncirculated personal notes kept by Postal Service employees, supervisors, counselors, investigators, etc. (See 314.5) This exception does not apply to official, signed supervisory evaluations or appraisals of an employee, which must be made available to the employee to whom they pertain upon request.

h. Results (other than annotated Forms 85 and 86) of national agency check and written inquiry investigations (NACI) conducted by the Office of Personnel Management. Individuals requesting NACI records should be advised to send their requests to the Director, Bureau of Personnel Investigations, NACI Center, Boyers, PA 16018. (See 314.2)

.62 Requests to Amend a Record. An employee may request the correction or amendment of a Postal Service record pertaining to him. Policy is covered in the Administrative Support Manual (ASM).

.63 Requests for Records of Disclosures. An employee may request that the Postal Service be notified of any disclosure of a specific personal record to any person, organization, or agency outside of the Postal Service. Such a request must be made to the facility where the record is located and must clearly identify the system of records. Procedures are covered in Chapter 3 of the *Administrative Support Manual (ASM)*.

.64 Fees. No fee is charged an individual for searching for or for reviewing a record pertaining to self. A fee of ten cents a page may be charged for copying a record, but fees totaling less than a dollar must be waived. Copying fees collected as a result of Privacy Requests are deposited in Account Identifier Code (AIC) 127.

313.7 Processing Requests for Personnel Information

.71 Requests for Local Records

.711 Requests to review or copy a record must be made to the installation where the record is kept, except in the case of retired Official Personnel Records (see 313.72).

.712 Records are made available for inspection and copying during normal business hours at the facility where the record is to be reviewed.

.713 Postal employees who wish to review or copy any of their own records must do so on their own time,

except as provided for under current collective bargaining agreements.

.72 Requests for Retired Official Personnel Folders. A request to review an Official Personnel Folder which has been retired to the National Personnel Records Center may be made at any postal installation. The requester should specify the installation at which review is desired. The request must be immediately forwarded to that installation for processing, if other than the installation initially receiving the request. If the requester meets the criteria in 313.5 or 313.6, the installation where review is to take place sends an SF 127, *Request for Official Personnel Folder*, to the National Personnel Records Center, St. Louis, MO 63118. Upon receiving the folder, the installation notifies the requester that it is available for review. After the review, the installation retains the folder for 30 days and then, if there is no further need for its retention, returns it by registered mail to the National Personnel Records Center.

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314 Maintaining Personnel Records and Files

314.1 Official Personnel Folders (OPFs)

.11 Establishment. A single official personnel folder is established and maintained by the appropriate appointing or personnel officer for each employee of the Postal Service, regardless of appointment type or duration. (See Handbook P–11, *Personnel Operations*, Part 621. The OPF contains documents reflecting or having a bearing on the official status, salary, benefits, service, or work performance of the employee, and those with significance in the employee's career history. Separate files must be established for investigative reports, medical records and reports, occupational injury and illness compensation claims, and for certain disciplinary records. Also, separate files containing relevant records may be temporarily established incident to completion of a current case such as a grievance action. The retention of such case files must be in accordance with the established records retention schedules. Photographs of the employee may not be placed in an employee's OPF. OPFs are maintained by the Postal Service within the privacy system of records identified as USPS 120.070.

.12 Laws Governing Use of Information

.121 Privacy Act. Officers of the Postal Service are responsible for compliance with regulations of the Privacy Act concerning the collection, use, disclosure and safeguarding of information pertaining to employees, and permitting employees to gain access to and to correct or amend records containing such information. This applies to all records maintained in the OPF. See 313 for these requirements.

.122 Freedom of Information Act. The records in the OPF are exempt in most cases from mandatory public disclosure under the Freedom of Information Act, except for certain public information which may be disclosed under the provisions of 313.51. For guidelines regarding the processing and denial of requests under the Freedom of Information Act, see Chapter 3 of the *Administrative Support Manual (ASM)*.

.13 Security of Folders. The OPF is the basic record of official data on the employee. The integrity of the OPF is essential to postal officials in discharging their responsibilities, and employees depend on the completeness of these records for assurance of their rights and benefits. Furthermore, the records in the OPF contain information which, if improperly disclosed, could cause substantial harm, embarrassment, inconvenience or unfairness to the employee. Consequently, it is required by law that the custodian establish appropriate adminstrative, technical and physical safeguards to ensure the security and confidentiality of the OPFs and to protect against any threat to their integrity. See 313.2 and 313.3 regarding responsibilities of the custodian to safeguard personnel records, and on penalties provided by the Privacy Act for unauthorized collection or disclosure of information about an individual. Handbook P–11, *Personnel Operations*, Part 621 outlines procedures related to the protection of OPFs.

.14 Access to Folders

.141 Official Uses. Postal Officials and personnel office employees who require personnel information in the performance of postal duties must so state before being given access to OPFs. No Privacy Act accounting is required for such disclosures.

.142 Employee Review. With no exceptions, individuals may review and have copies made of any information contained in their OPF. Such review must be conducted in the presence of an official or employee who has custody of the folder. Records are made available for inspection and copying during normal business hours at the facility where the record is to be reviewed. Employees wishing to review or copy records pertaining to them must do so on their own time except as provided for under current collective bargaining agreements. Information to which an employee is not entitled access is listed in 313.61a through h; however, none of the items of information listed there may ever be kept in the OPF. For further information on requests made by employees regarding information pertaining to themselves see 313.6.

.143 All Others. See 313.5 for instructions regarding the disclosure of personnel information to others.

.15 Detailed Instructions. Detailed instructions governing the establishment, content, maintenance and disposition of OPFs are contained in P–11, Part 621.

314.2 Personnel Investigation Records

.21 Responsibility. Postal officials with appointing authority are responsible for the security and disposition of personnel investigation records in their possession or in the possession of their subordinates. Personnel investigation records are normally maintained by the same official who is responsible for maintaining OPFs, although access is more restricted.

.22 Purpose. Personnel investigation records are developed and maintained for the purpose of determining suitability of employment, and for security purposes as authorized by 39 USC 410(b) and 1001.

.23 Location of Record System. To comply with the Privacy Act and to prevent unauthorized access to sensitive investigative information, personnel investigation records on employees and applicants for employment must be stored in locked file cabinets accessible only to those with the appropriate authorization and the need to know. Investigative records must not be filed in the OPF, nor may they be stored in the same file cabinets as the OPFs except in those small offices where access to both record systems is restricted to the same one or two individuals.

.24 Content. Personnel investigation records include such items as character references, former employee references, police records, drug abuse reports, investigative reports, accountings of disclosures for law enforcement purposes, and such other material as may be generated in any of four ways. Due to differing disposal requirements for each of the four types of records, it is advisable to keep each type segregated within the same alphabetical file. An employee may therefore have up to four folders filed under his name in the personnel investigations file.) The four types of investigative records are:

a. Those resulting from local preemployment background investigations performed by appointing officers in compliance with Part 310 of the P–11. Preemployment investigation records are maintained by the Postal Service within the privacy system of records identified as USPS 120.110

b. Information returned to the appointing officer, either directly or through the Postal Inspection Service, as a result of the National Agency Check and Inquiries (NACI) investigation. (Forms SF 85 or SF 86 on which background data is submitted to OPM and on which notations may be made showing that investigative requirements have been met, are filed as permanent records in the OPF).

c. Investigative memoranda on employees generated by the Postal Inspection Service. Whether or not these memoranda become the basis for disciplinary action, they must never be placed in the OPF. Written letters of decision regarding disciplinary action based on investigative memoranda are filed in the OPF as permanent documents immediately below the Form 50 which effects the action. The case number on the investigative memorandum is noted in the remarks section of this Form 50. Investigative memoranda are maintained by the Postal Service within the privacy system of records identified as USPS 080.010.

d. Records of all disclosures of any personal information maintained by the Postal Service, to a federal, state, or local government agency for civil or criminal law enforcement purposes.

.25 Disclosure to Employee Concerned

.251 Local Preemployment Background Investigations Records. Employee may review and have copies of any information pertaining to themselves in these records, except the name or information identifying an individual who has expressly requested and been promised anonymity in providing information to the Postal Service. The fact that such a request or promise has been made must be clearly reported in the record by the responsible appointing official. The information must be excised from a copy of the record before it can be reviewed or copied by the individual.

.252 Investigative Material Developed by the Civil Service Commission During NACI Investigation. Individuals requesting NACI records are advised to send their requests to the Director, Bureau of Personnel Investigations, NACI Center, Boyers, PA 16018.

.253 Investigative Memoranda Generated by the Postal Inspection Service. Requests for access to such records are forwarded to the Chief Postal Inspector, Washington, DC 20260.

.254 Disclosure Accounting Records. When a disclosure has been made for civil or criminal law enforcement purposes, the accounting of that disclosure is not to be provided to the individual. (Note that accountings must be provided to the individual when information has been disclosed to a law enforcement agent during a suitability for employment investigation.)

.26 Disposition

.261 Local Preemployment Background Investigation Records. Investigative records generated locally, as in 314.24a, are disposed of as follows:

a. If an applicant is found unsuitable for employment, or if an employee is found unsuitable, after beginning work, all investigative records which support the decision of unsuitability are retained for a period of 2 years from the date action was taken to deny or terminate employment.

b. If an employee is initialy found suitable for employment as a result of a local investigation, and is ultimately retained upon receipt of the NACI report from the OPM, the local investigative reports are retained for a period of two years from the date the employee is initially found suitable for employment.

c. Local investigative records are destroyed by shredding or burning.

.262 NACI Investigation Material. All investigative reports and material developed by the OPM during the NACI investigation are retained and destroyed according to the same guidelines established for local records in 314.261.

.263 Investigative Memoranda Generated by the Postal Inspection Service. Investigative memoranda from the Postal Inspection Service are destroyed by burning or shredding according to the following schedule. (In all cases resulting in disciplinary action or resignation with charges pending, the case number on the investigative memorandum is noted in the remarks section of Form 50 in the OPF. This enables retrieval of the material from Inspection Service files if necessary after destruction of the local copy.)

a. When disciplinary action is taken or intended:

(1) If the employee remains in the Postal Service, the local office destroys its copy of the investigative memorandum 2 years after completion of the disciplinary

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action or after the adjudication of any appeals, whichever is later.

(2) If the employee is separated by the disciplinary action, the local office destroys its copy of the investigative memorandum 2 years after the date of separation, or after the adjudication of any appeals, whichever is later.

(3) If the employee elects to resign from the Postal Service, either before disciplinary action is taken, or before the end of the retention period in 314.263a(1), the local office destroys its copy of the investigative memorandum 30 days after the date of separation.

b. *When no disciplinary action is taken or intended:*

(1) · If the employee remains in the Postal Service, the local office destroys its copy of the investigative memorandum 2 years after the date of the memorandum.

(2) If the employee separates for any reason, the local office destroys its copy of the investigative memorandum 30 days after the date of separation.

c. *When the employee is reassigned to another Postal Service installation:*

If reassignment occurs before the end of the retention periods specified above, the custodian of the personnel investigation records forwards the investigative memorandum/memoranda via Registered Mail to the employee's new installation head with the retention period clearly marked on the document.

.264 Disclosure Accounting Records. These records must be retained for 5 years or the life of the record which has been disclosed, whichever is longer.

314.3 Medical Records

.31 Program Administration. See Chapter 8 for instructions on the administration of the medical program.

.32 Confidentiality. All medical records and information are to be considered confidential. Such records must be kept under lock when left unattended.

.33 Maintenance. Medical records are not to be maintained in the OPF. They must be maintained separate from all other employee records as the Privacy Act System USPS 120.090.

.34 Disposition Upon Employee Reassignment, Separation, or Transfer.

.341 Reassignment within Postal Service. Medical records must be placed in a double envelope and mailed *Registered*, return receipt, to the installation head at the new place of employment.

.342 Separation. Upon separation, all medical records pertaining to the employee are placed in an inactive file at the appropriate postal medical unit, retained for 2 years and then sent for storage to the nearest Federal Records Center for the remaining 4 years.

.343 Transfer to Another Federal Agency. At the request of the other agency, an employee's medical records are placed in a double envelope and mailed *Registered*, return receipt.

314.4. Injury Compensation Case Files

.41 Responsibility. The handling of injury compensation cases and maintenance of case files is the responsibility of the designated injury compensation control point or office which may be the medical or health unit, the safety office or an appropriate level supervisor. See 540 for complete instructions on administration of the Injury Compensation Program.

.42 Purpose. Injury compensation case files are maintained to monitor the administration of benefits under the Federal Employees' Compensation Act (FECA), as amended, which covers all officers and employees of the Postal Service. Injury Compensation records are maintained by the Postal Service within the privacy system of records identified as 120.098.

.43 Content. Injury compensation case files are established for each employee who submits a claim to the U.S. Department of Labor, Office of Workers' Compensation Programs (OWCP.) The case file contains:

a. CA–1 (copy), *Federal Employee Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation.*

b. CA–2 (copy), *Federal Employee's Notice of Occupational Disease and Claims for Compensation.*

c. Form CA–17, *Duty Status Report,* completed by the employee's attending physician as often as the control office or control point deems necessary during the period of disability.

d. Form 2533 (copy), *Limited Duty Assignment,* if used.

e. Any other forms or correspondence which pertains to the case.

.44 Confidentiality. Injury compensation case files are to be treated as confidential and given the same measure of security as other personnel records systems; i.e., storage in a locked desk or file cabinet and access restricted to those with the need to know.

.45 Disclosure to the Individual Concerned. Individuals may review and have copies of any information pertaining to themselves that is contained in the injury compensation files. If the case files contain medical information, the medical officer must approve the direct disclosure of this information to the employee.

.46 Disposal. Injury compensation case files are destroyed 2 years after the employee has left the Postal Service. If an employee with an injury compensation case file is reassigned to another unit within the Postal Service, the case file is mailed certified to the injury compensation control point at the employee's new location.

314.5 Supervisor's Personnel Records and Personal Notes

.51 General. Supervisors establish an adequate personal filing system for the performance of their daily responsibilities and to maintain compliance with the provisions of the Privacy Act. Supervisor's Personnel Records are maintained by the Postal Service within the privacy system of records identified as USPS 120.190.

.52 Levels of Information. In order to meet the requirements of the Privacy Act, the Postal Service has defined three levels of personnel information for general use:

Level 1—*General Purpose Records Systems* those official systems necessary to support employee staffing, benefits, payroll and other employment-related functions, e.g., the OPF.

Level 2—*Supervisor's Personnel Records* of counselings, letters or warning, the supervisor's copy of any official records maintained in Level 1, and any other relevant official records being maintained at the supervisor's discretion for the purpose of enabling effective management of personnel.

Level 3—*Personal notes and documents maintained by a supervisor and never circulated to another person.* These are considered to be unofficial, non-Postal Service documents until such time as at least one other person (besides the subject employee) witnesses their contents. For purposes of the Privacy Act, another person's witness of the contents of such documents legally converts them to Level 2, Supervisor's Personnel Records categorization.

.53 Supervisor's Personnel Records (Level 2 Records)

.531 Contents. Supervisor's personnel files may include such employee records as: counselings; letters of warning and other disciplinary records; copies of records filed in the OPF; copies of training and placement records; attendance records; travel records; skills bank information; estimates of potential; merit evaluations; vehicle operator's and safe driver awards records; letters of commendation; customer correspondence, and other information at the supervisor's discretion.

.532 Privacy Act Requirements. These records are personal and must be provided the same level of security as OPFs; i.e., storage in a locked desk or file cabinet and access restricted to those with the need to know. At installations where some employees frequently work for more than one supervisor, a separate, central file for disciplinary and/or other supervisor's personnel records may be maintained under this privacy system. Supervisor's personnel files are a recognized system under the Privacy Act, and are therefore subject to all its provisions, including the right of the employee to review and have copies of any records maintained therein. Copies of investigative memoranda prepared by the Inspection Service may not be maintained as a supervisor's personnel record, but rather as a personnel investigative record as defined under 314.2

.533 Retention

a. General. Except for those records of discipline which have a more restrictive retention schedule described in 315.533b and c, 315.534 and 315.535, supervisor's personnel records may be retained for the duration of the supervisor-employee working relationship.

b. Counseling Records are destroyed after 1 year if there has been no disciplinary action initiated against the employee during that period.

c. Letters of Warning are destroyed after 2 years if there has been no disciplinary action initiated against the employee during that period.

.534 Reassignment of Employee

a. All disciplinary records in the Supervisor's Personnel Files are transferred to the new supervisor, provided their retention period has not expired.

b. All other records are destroyed unless their transfer was specifically requested by the employee's new supervisor.

.535 Separation of Employee. Disciplinary records in the Supervisor's Personnel Files may be retained, according to the retention period (see 314.533), for reference in the event of future Postal Service employment consideration. All records not retained for this purpose are destroyed by burning or shredding within 30 days from the date of an employee's separation.

.54 Personal Notes and Documents (Level 3 Records)

.541 Unofficial. Personal notes, which a supervisor may maintain to assist his memory in writing evaluations, scheduling, and fulfilling other requirements, are not official Postal Service records provided they are never circulated or viewed by another person (other than the subject employee).

.542 Application of Privacy Act. These documents do not come under the Privacy Act as long as they remain uncirculated. This requires that they be physically kept by the supervisor or stored in a locked desk or file cabinet to which only the supervisor has access. Once any other person (other than the employee to whom the document pertains) has witnessed the content of such document, the information then comes under all provisions of the Privacy Act as Supervisor's Personnel Records. Personal documents are immediately destroyed by burning or shredding when the particular supervisor-employee working relationship no longer exists.

314.6 Service Record Cards

.61 Optional Use. Some installations may elect to continue use of the Form 7, *Service Record Card* for manpower and position control or as a locator reference for former employees until other systems are in place to replace these uses. *Service Record Cards* are maintained by the Postal Service within the privacy system of records identified as USPS 120.070.

.62 Disclosure. The name, job, title, grade, salary, duty status and dates of postal employment of any current or former postal employee is public information and may be disclosed to any person with no accounting of the disclosure. All other information may be released only in accordance with the guidelines established in 313.

.63 Retention. *Service Record Cards* are placed in an inactive file upon separation or transfer. They are to be destroyed 3 years after separation or transfer.

320 Recruitment and Hiring

321 General Provisions for Recruiting

321.1 Establishing a Need for Recruitment

.11 Administration. The installation head is responsible for forecasting the recruitment requirements in the installation in sufficient time to assure that qualified persons are available for appointment. In so doing, the installation head must consider the number of anticipated vacancies, the size of the available register, and the status of the suitability determinations of eligibles.

.12 Equal Employment Opportunity (EEO) Program. The installation head implements an equal employment opportunity program which includes affirmative recruitment, selection, and placement. The installation head assures that all eligibles are considered.

321.2 Obtaining Recruiting Materials and Publicizing Job Opportunities. Recruiting materials are available from the National Test Administration Center (NTAC). They are listed in Appendix C of Handbook P–11, *Personnel Operations.* SCMs and installation heads must ensure that job opportunities are given widespread publicity within the area from which they are expected to recruit employees. See P–11, Subchapter 220 for details.

321.3 Administering Entrance Examinations. Complete details for administering written and rated examinations can be found in Subchapters 420 and 440 of Handbook P–11 and in Handbook P–30, *Conducting Postal Employment & Placement Examinations.*

321.4 Reopening Entrance Examinations. Since registers for a particular installation are kept at that installation, or maintained, in some cases, at the Management Sectional Center (MSC), information about the adequacy of the register is available only at the installation or the MSC. Appointing officers must maintain adequate registers to meet the predictable needs in the job areas for which they normally hire. The installation head must request posting materials from the NTAC. (See P–11, Chapters 2 and 4.)

321.5 Review of Rating. A competitor is allowed to request reviews of a rating in accordance with established postal policy. (See P–11, Subchapter 280.)

321.6 Register Preference Factors. Veteran preference is granted for employment in the Postal Service. (Specific procedural guidelines are contained in P–11, Subchapter 240.)

321.7 Registers. The appointing officer is responsible for the maintenance of registers for positions to be filled in the installation. This section is concerned primarily with positions which are filled through entrance examinations. There is a separate register for each examination. (Specific procedures for establishing, maintaining, and utilizing registers are contained in P–11, Subchapter 25.)

322 Special Employment Programs (Employment of the Handicapped)

See 261.34, P–11.

323 Accessions

323.1 Definition

An *accession* is a personnel action which adds an employee to the rolls of the Postal Service. Movement of an employee between postal installations without a break in service is not an accession.

323.2 Career Accessions

.21 Career Appointment

.211 Authority. Career appointments are made under authority of Title 39 USC (*Postal Reorganization Act*) Section 1001, dated Aug. 12, 1970.

.212 Definition. A *career appointment* is an appointment to the Postal Career Service without time limitation. Included are:

a. Full-Time Employees, Part-Time Regular Employees and Part-Time Flexible Employees.

b. Exempt, Non-Exempt, and Part-Time Salaried Employees.

Excluded are:

a. Casual and Temporary Employees.
b. Substitute Rural Carriers.
c. Auxiliary Rural Carriers.

.213 Offer of Appointment. When an eligible is selected the appointing officer makes an offer of appointment which includes:

a. Full particulars regarding the position, including title, duties, level, salary, location of employment, nature and duration of appointment, and information that a preemployment interview is required. (See P–11, 264.8 and 265.)

b. Instructions for submitting any forms desired before entrances on duty concerning veteran preference, medical examination, etc.

c. Any conditions the appointee is required to fulfill after entrance on duty, e.g., serving a probationary period and being subject to investigation.

.22 Transfer

.221 From Other Federal Agencies. *Transfer* is the movement of a career or career-conditional employee from another agency to the Postal Service without a break in service.

.222 Status After Transfer. An employee transferring to the Postal Service from another agency is given a career appointment whether the employee was career or career-conditional with the former agency. (See P–11, Chapter 6.)

.223 Effective Date. In making a transfer, the appointing officer arranges with the losing agency to set a mutual agreeable effective date which will not result in a break in service of 1 workday or more.

.23 Reinstatement

.231 Definition. *Reinstatement* is the noncompetitive employment of a former federal or postal employee subject to certain time limits after separation and a new probationary period. The employee must meet the qualification standards, including any required written examination, which may be administered noncompetitively. Reinstatement of a former federal or postal employee is at the discretion of the appointing official. (See P–11, Part 261.3 e.f.)

.232 Applicants Separated for Cause. Prior approval of the District Director E&LR or the APMG, Employee Relations, must be obtained before employing any such former postal or federal employee who was removed from the Postal Service or from other federal employment for cause or who resigned after being notified that charges proposing removal would be, or had been, issued. (See P–11, Part 313.)

.233 Time Limits on Reinstatement. Refer to P–11, 261.3.

.24 Positions Restricted to Preference Eligibles. Certain positions are restricted to preference eligibles (veterans) under the Veterans' Preference Act of 1944. This restriction applies only to competition in examinations for entrance into the Postal Service. (See P–11, Part 262.)

323.3 Reemployment of Former Postal Employees

.31 Return from Active Military Service or Training Duty in the Armed Forces of the United States. (See 365.234)

.32 Reemployment After Transfer to Other Federal Agencies, Commissions or International Organizations

.321 Eligibility. Reemployment rights are granted only for transfer of career employees who have completed their probationary periods, when authorized by the Senior APMG, E & LR. The authorization is valid for only 1 year and reemployment rights granted under the authorization automatically expire after 2 years, unless sooner forfeited or exercised. For employees who serve outside the continental limits of the United States, the expiration date is extended an additional 3 months to permit travel.

.322 Exercise or Forfeiture of Reemployment Rights

a. Exercise of Reemployment Rights. Employees must apply to the Postal Service, in writing within 30 calendar days immediately preceding the date of expiration of their reemployment rights. (If the employee has received the consent of the other agency, or an advance notice to report to active military duty, a copy of the notice must accompany the application.) The employee must apply at an earlier date under the following circumstances:

(1) Within 30 calendar days after receipt of notice of involuntary separation; or

(2) Within 30 calendar days after date of voluntary separation, provided the employee has the written consent of the other agency to resign; or

(3) At least 30 calendar days in advance of the employee's scheduled entry to active military duty. (Employees who thus exercise reemployment rights are eligible for return to their postal position after military duty.)

b. Forfeiture of Reemployment Rights. Employees forfeit reemployment rights granted under the authorization if they:

(1) Fail to apply for reemployment in the Postal Service within the time limits stated in 323.322; or

(2) Resign, without the written consent of the other agency, more than 30 calendar days prior to the expiration date of their reemployment rights.

c. Termination of Rights After Declination of Offer. The employees' reemployment rights are terminated if employees:

(1) Fail to accept within 10 calendar days a proper offer of reemployment by the Postal Service.

(2) Refuse to accept a proper offer or reemployment in a position in accordance with their rights after applying for reemployment.

(3) Fail to make a timely appeal when they believe the postal official is not giving them the full benefit of their reemployment rights.

.323 Effecting the Reemployment. The postal official places the employee on duty as promptly as possible, and no later than 30 calendar days after receipt of the employee's application for reemployment. If there is no available position the case is referred to the Regional Director, E & LR.

.324 Refusal to Reemploy. The postal official may refuse to take action to place an employee on duty, who has reemployment rights, only if the applicant was separated from the other agency for serious cause evidencing his unsuitability for reemployment. If the employee is refused reemployment rights, the postal official must: (a) notify the employee in writing and (b) include a paragraph informing the applicant of his right to appeal the decision.

.33 Reemployment of Retired Annuitants

.331 Definition. *Reemployed annuitant* means an employee whose annuity under the Civil Service Retirement System was continued on reemployment in an appointive position on or after October 1, 1956. Prior approval of the SAPML, E&LR must be obtained before reemploying a retired postal of Federal employee receiving an annuity from the Civil Service Retirement and Disability Fund. Request for approval must be submitted through appropriate channels.

.332 Eligibility Annuitants receiving annuities from the Civil Service Retirement and Disability Fund are not, because of retired status, barred from employment in any position for which they are qualified. Retirees under another retirement law may be reemployed only as provided by the particular act under which they retired. Annuitants are employed under the regulations governing the particular type of action (Career or Temporary Appointments) and must meet the regular physical and other requirements for the position. Annuitants may be given career or temporary appointments.

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.333 Annuitants Who Remain Annuitants After Reemployment. Annuitants who retired under the following circumstances continue to receive their retirement annuities after reemployment:

a. Voluntary separation. (Optional Retirement)

b. Separation for misconduct or delinquency. (Optional Retirement)

c. Retirement based on age. (Mandatory Retirement)

d. Retirement based on disability, age 60 or more. (Disability Retirement)

e. Retirement based on disability, under age 60, not found recovered or restored to earning capacity and reemployed under a temporary appointment of less than one year's duration. (Disability Retirement)

f. Involuntary separation, if reappointed to a position not subject to the Retirement Act. (Discontinued Service Retirement)

Prior to accepting annuitants for postal employment, appointing officals advise annuitants that the rates at which their annuities are paid are deducted from the rate of the salary normally paid for the position in which they are reemployed.

.334 Annuitants Who Cease To Be Annuitants After Reemployment

a. Annuities Discontinued. Annuities of employees who retired under these circumstances are discontinued upon reemployment:

(1) Retirement based on disability, under age 60, and upon presentation of Form BRI 40–10 showing the OPM has found the annuitant to be recovered or restored to earning capacity. (Disability Retirement)

(2) Involuntary separation, if appointed to a position subject to the Retirement Act. (Discontinued Service Retirement)

b. Hiring Annuitants. Prior to accepting annuitants for employment, the appointing official advises them that their annuity will be discontinued. Immediately on reemployment (or in advance, if possible) of an individual under these conditions, the appointing official must also notify the Bureau of Retirement, Insurance and Occupational Health, Office of Personnel Management, Washington, DC 20415, of the annuitant's name, date of birth, retirement claim number (if known), and whether retirement deductions will be made from his salary in the position in which reemployed.

.335 Annuitants Reemployed Before October 1, 1956 continue to serve under the type of appointment which they now hold. If this appointment is terminated for any reason, annuitants may be reappointed if they meet the eligibility requirements for one of the regular types of appointment. If annuitants receive a new appointment on or after October 1, 1956, their retirement rights and status are determined under the provisions of the current act.

.336 Special Requirements for Reemployment of Disability Annuitants

a. Disability annuitants under age 60 whose annuities have been, or within one year will be, discontinued because of recovery, may be given any type of appointment for which they meet the regular eligibility requirements. The OPM's notice to annuitants on form BRI 46–10 is sufficient evidence of their recovery. If this notice is not presented, the appointing officer, by letter, requests the OPM regional director to determine whether the annuitant has recovered prior to effecting any reemployment, except as authorized in 323.336 b and c. On advice from a physician the letter includes a statement of the appointing officer's opinion as to whether the annuitant is physically qualified to perform the duties of the position for which they are being considered. It may be accompanied by a medical examination report if an examination can be obtained from a federal medical facility or activity, without incurring any expense to the annuitant, the USPS, or the OPM. The OPM's notices to annuitants that they have been restored to an earning capacity is evidence only of their *reemployment eligibility.*. On advice from a physician, appointing officers must determine that annuitants are *physically qualified* to perform the duties of positions for which they are being considered. (The physician may be a Postal Medical Officer or a private physician designated by the USPS.)

b. Disability annuitants under age 60, may be reemployed under temporary appointments of less than 1 year's duration without prior medical approval by the OPM.

c. Disability annuitants age 60 or over, may be reemployed in any position for which they are qualified without prior medical approval of the OPM.

d. Annuitants, appointed on or after October 1, 1956, whose annuities continue after appointment may be separated at the will of the appointing officer.

323.4 Temporary and Casual Appointments

.41 Temporary Appointment

.441 Definition. *Temporary Appointment* is a noncareer limited appointment up to, but not exceeding, 1 year in a position requiring the performance of duties assigned to non-bargaining unit positions. This includes emergency substitute rural carriers.

.412 Use of Temporary Appointments. *Temporary appointments* may be made to meet administrative needs for *temporary employment.* Such appointments must be specifically authorized by the Regional Director, E & LR, or the SAPMG, E & LR. (See P–11, Part 261.3 *Sources of Recruitment.*) *Temporary employment* is used to meet administrative needs such as filling temporary positions or filling a continuing position for a temporary period. The following types of positions or circumstances are filled by temporary limited appointments:

a. Positions not expected to last more than 1 year.

b. Part-time and intermittent positions that are not clearly of a continuing nature.

c. Continuing positions, when temporarily vacated for periods of less than 1 year.

d. Emergency situations such as fire, flood, earthquake, high winds, or unforeseeable circumstances which cause a severe curtailment of available manpower, e.g. epidemics, accidents involving an unusual number of employees, etc.

.42 Casual Appointment. A *non-career limited term appointment* to positions used as a supplemental work force as described in the National Agreement or in similar provisions in other Postal Service collective bargaining agreements, requiring the performance of duties otherwise assigned to employees in the bargaining units.

.43 Former Postal or Federal Employees. For those hired as temporary or casual employees after having previously served in a position in the Postal Service or other federal agencies, wherein they were covered by Civil Service retirement, health benefits or life insurance, such persons must have at least a four-day break between such service and their appointment as a temporary employee.

323.5 Rural Carriers and Substitute Rural Carriers

.51 Filling Rural Carrier Positions. Normally, Rural Carrier positions are filled from within the postal Service in accordance with any applicable collective bargaining agreement.

.52 Filling Substitute Rural Carrier Positions. Providing there are no eligible postal employees available to fill a substitute rural carrier position vacancy, the position is filled by selection from a register of eligibles established through open, competitive examination.

323.6 Dual Employment or Dual Compensation

.61 Within the Postal Service

.611 General Explanation. Under certain circumstances, as described in this chapter, an employee may be appointed to more than one position in the Postal Service. This is known as a dual appointment. Only one of the appointments may be to a position in the career workforce. The primary purpose of dual appointments is to improve the opportunity of part-time employees (career) and substitute rural carrier employees (non-career) to gain further employment and to minimize unemployment compensation expense. Dual appointments also enable the Postal Service to utilize available experienced employees instead of new hires.

.612 Prerequisite. CONSIDERATIONS. All dual appointments must be cost effective and in the best interest of the Postal Service. Before deciding to make dual appointments, installation heads should consider the following factors:

a. Determine the estimated daily workload requirement (hour by hour) in each craft.

b. Determine if this workload can be covered by increasing the hours of part-time flexibles currently on the rolls, by the judicious use of overtime hours, or by appointing a substitute rural carrier to more than one route.

c. Determine if this workload can be covered by using employees from another craft, in accordance with applicable provisions in collective bargaining agreements.

d. Determine if it would be more feasible to use the services of part-time employees from other nearby post offices.

e. Determine if the installation will have enough flexibility to make necessary leave replacements if dual appointments are made.

f. Determine what the average weekly work hours are for each employee on the rolls and ascertain whether a dual appointment would reduce the Postal Service's liability for State Unemployment Compensation benefits.

g. When it is proposed to offer a *substitute rural carrier* a dual appointment as a part-time employee in another craft, determine if the advantages justify the additional expense for fringe benefits. *Substitute rural carriers* are not eligible for retirement, life insurance, military leave, and health benefits. However, they become eligible for these benefits upon being appointed to a career part-time position. Normally, installation heads can obtain information on benefit and unemployment costs from the Sectional Center Director Finance/Support.

h. Determine whether the combined hours of the dual appointment will total more than eight hours a day or forty hours a week.

.613 Authority to Appoint. Authority to make dual appointments must be obtained from the MSC Manager/Postmaster.

.614 Appointment Requirements. Employees considered for dual appointments must meet all qualification requirements for both positions, including examination requirements, if any. Career employees may be appointed to substitute rural carrier positions non-competitively. Likewise, substitute rural carrier employees may be appointed to entry level career positions non-competively. All other procedures for conducting examinations, maintenance of registers, and selections and promotions are included in Handbook P-11, *Personnel Operations.*

.615 Compensation, Benefits, and Other Rights. An employee serving under a dual appointment is compensated for the work performed in a particular position at the appropriate rate for that position. Where one of the positions of a dual appointment carriers with it the right to fringe benefits, the employee accrues the rights immediately upon appointment to that position and retains the rights even while working in another position that does not have such fringe benefit rights. Other rights which accrue to a position under the terms of a collective bargaining agreement are accorded to the employee.

.616 Change to Full-time. An employee's change to full-time status in either of the two positions necessarily requires the termination of the residual appointment.

.62 Beween USPS and Other Federal Agencies. An employee may serve and receive pay concurrently as an employee of the Postal Service (other than as a member of the Board of Governors or of the Postal Rate Commission) and as an employee of any other federal agency.

.63 Between USPS and Private Industry. A USPS employee may be employed concurrently as an employee in the private sector unless such employment has an adverse impact on postal operations or where conflicts of interest may be generated between the private employer and/or employee and the USPS.

323.7 Simultaneous Holding of Federal and State or Local Office

See 660, *Code of Ethical Conduct.*

323.8 Employment of Retired Members of Uniformed Services

.81 Applicability. The reporting requirements of this section apply whenever a retired member of any of the uniformed services (officer or enlisted) is employed in a position in the USPS.

.82 Definitions. For the purpose of dual compensation and these instructions the following definitions apply:

a. *Uniformed Services* means the Army, Navy, Air Force, Marine Corps, Coast Guard, Environmental Services Administration (Coast and Geodetic Survey), Public Health Service and the National Oceanographic and Atmospheric Administration.

b. *Retired Member* means a member or former member of any of the uniformed services who is entitled under any provisions of the law, to retired, retirement or retainer pay on account of service as such a member.

c. *Civilian Position* means a civilian office or position (including a temporary position) appointive or elective, in the legislative, executive or judicial branch of the federal government including each corporation owned or controlled by the federal government.

d. *Temporary Employment* means service under an appointment limited to 1 year or less.

.83 Reporting Requirements. The appointing official records on the Form 50 specific information as it pertains to the retired member. (See P−11, Chapter 6.)

.84 Obtaining Necessary Information. In most cases, it should be possible to determine whether appointees are retired members of a uniformed service from their applications for employment, Forms 2591. Some information can be obtained most easily from appointees. Retired members from the Armed Forces have been forwarded a DD Form 214, *Report of Transfer or Discharge.* The Coast and Geodetic Survey and Public Health Service utilize a statement of service for their members. If it is not possible to determine the necessary information, contact the member's finance center for any additional information or verification.

.85 Retired Pay

.851 Reduction-in-retired pay. Section 5532(b) of Title 5, U.S. Code, provides that a retired regular officer receive the full pay of any civilian position held, but that during a period for which civilian pay is received, the retired military pay is reduced by a specified amount. The finance center of the uniformed service concerned determines the applicability of the reduction-in-retired-pay provision to a retired officer.

.852 Statutory Exception. The reduction-in-retired-pay provision does not apply to a retired regular officer whose retirement was based on disability:

a. Resulting from injury or disease received in line of duty as a direct result of armed conflict; or

b. Caused by an instrumentality of war and incurred in line of duty during a period of war as defined by Section 101 and 301 of Title 38, U.S. Code.

.853 Special rule for temporary work. There is a partial exception for retired regular officers employed on a temporary (full-time or part-time) basis. The reduction-in-retired-pay provision does not apply to the first 30-day period of service on such a basis for which they receive pay under a single appointment. If they serve under more than 1 appointment in a fiscal year, the exception applies to the first period aggregating 30 days for which they receive pay from all civilian offices in which they are employed under the appointments made in that year. In each case, the period for which they receive pay means the full calendar period when the employment is on a full-time basis, and only the days for which officers actually receive pay when employment is on a part-time basis.

323.9 Preemployment Determinations

To maintain public trust and confidence in the reliability and integrity of its employees, the USPS must evaluate the overall suitability of an applicant for postal employment including consideration of the applicant's: (a) education and work experience and (b) ability to meet prescribed medical requirements. Appointing officers must also ensure that the suitability determinations and appointments are made without discrimination for any non-merit factor such as race, color, religion, sex, age, or national origin. (See P−11, Chapter 3.)

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330 Examinations

331 Description of Examinations

331.1 Purpose of Examinations

Employment and promotion examinations are administered to assist in the identification of the best qualified eligible candidates for filing vacant positions. Detailed provisions are contained in Handbook P–11, Chapter 4.

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331.2 Forms of Examination

.21 Written. *Written examinations* are generally those in which the examinee responds to written questions on paper.

.22 Rated Application. Competitors submit completed applications or other required documents, providing information for evaluation against an established rating standard. Based upon the information, a final rating is established for each competitor.

.23 Performance Test. A *performance test* is a procedure in which the applicant is directed to carry out some certain work activity related to the position under consideration. The applicant's performance while engaging in the activity and the work produced are observed and evaluated according to predetermined standards.

331.3 Types of Examinations.

.31 Entrance Examinations. Entrance examinations are administered to U.S. citizens and noncitizens who have been granted permanent resident alien status for the purpose of establishing eligibility for employment.

.32 Inservice Examinations

.321 Purpose. Inservice examinations are administered only to substitute rural carriers and career postal employees to provide eligibility for advancement and reassignment, or as qualification for enrollment in certain postal training courses.

.322 Competitive. A competitive inservice examination is administered to provide a register of eligibles. The register is established in descending order of scores attained by the competitors. Rank order of position on the register is a factor in the selection requirements for the position concerned.

323. Noncompetitive. A noncompetitive inservice examination is administered to determine whether an employee who is being considered for a noncompetitive action meets the test requirements for the position.

.33 Noncompetitive (Other). The installation head may request the administration of a noncompetitive examination for other career federal employees in order to establish eligibility for transfer or reinstatement. The examinee must also meet all other requirements for the position. The results of the examination are rated either *eligible* or *ineligible*; no numerical score is assigned.

332 Conducting Examinations

332.1 General

Conducting examinations plays a vital role in the employment and placement function within the U.S. Postal Service. Detailed provisions and instructions are contained in Handbook P–30, *Conducting Postal Employment and Placement Examinations.*

332.2 Entrance Examinations

Entrance examinations are conducted only by authorized postal employees who have been certified by the National Test Administration Center (NTAC).

332.3 Inservice Examinations

Inservice examinations may be conducted by the installation head or any other responsible designated employee. In offices where they are available, certified examinations specialists can give inservice examinations, providing they are not eligible to participate in the examination. (See P–11, Parts 431.6 and 431.7.)

332.4 Examination Locations and Administration

The USPS obtains qualified employees and assists applicants seeking postal employment by providing a network of examining points at which persons may obtain information, make application, and take any required examinations for Postal Service employment. (See P–11, Chapters 1 and 4.)

333 Veteran Preference

Veteran preference is granted to eligible applicants for employment in the USPS. The claimed preference is added to the ratings on examinations by the NTAC as provided for in P–11, Chapter 2, and Veterans' Preference Act of 1944, as amended. The appointing official is generally responsible for adjudicating the claimed preference. (See P–11, 241.2).

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340 Registers

341 Establishing Registers

341.1 Definition

A *register* consists of a file of eligibles' names arranged in order of relative standing for appointment consideration. Detailed provisions are contained in P–11, Part 250. An Area Eligibility Register (AER) serves 2 or more installations within commuting distance.

341.2 Required Actions

.21 Appointing Officer. The appointing officer establishes and maintains registers for positions to be filled in the installation. There must be a separate register for each position or type of position.

.22 Installation. CAG Code A through J installations normally maintain their own entrance registers. Registers for vacancies at installations in CAG Code K are maintained at the MSC to which that installation reports.

341.3 Maintaining Adequate Registers

.31 Responsibility. The appointing officer is responsible for maintaining registers of a size adequate to meet the predictable needs of the installation.

.32 When Register Is Inadequate. When a register is exhausted or deemed inadequate to serve the needs of the installation, the installation head must take all necessary action to open the appropriate examination for his installations. See P–11, Parts 253 and 271. Necessary announcement materials for the examination are obtained from the NTAC. The appropriate examination is administered according to provisions in P–11, Part 271 and P–30, *Conducting Postal Employment and Placement Examinations.*

.33 Publicizing Job Opportunities. Installation heads ensure that job opportunities are given widespread publicity within the area from which they would logically expect to recruit employees. The recruitment area must reflect postal policy related to the employment of minorities, including women and special population groups. (See P–11, Part 222.)

341.4 Confidentiality

.41 Registers are confidential records. Care must be taken to protect them from inspection by unauthorized persons. Registers may not be inspected by eligibles. However, eligibles or their authorized representatives may be given the following information, in response to a written inquiry: (1) The approximate number of eligibles ahead of them on the hiring register; (2) The number of eligibles expected to be employed during a specific time frame (i.e., within the next 3-6 months).

.42 The information can be provided based on the past and/or current hiring needs of the installation and the number of anticipated vacancies to be filled in the near future. If the examination is open or scheduled for opening when the inquiries are made, the eligibles should be notified when applications will be accepted and of the opportunity to recompete in order to improve a passing score. Eligibles should also be advised that although their names may be reached on the register for employment consideration, this is not a guarantee they will be selected for appointment.

342 Use of Registers

342.1 Hiring Worksheets

.11 When to Prepare Worksheets. When it is necessary to hire from outside the Postal Service, the installation head or the appointing officer issues a hiring worksheet, Form 5900. Names are obtained from the top of the installation's register of eligibles and listed on the form in descending numerical final rating order.

.12 Responsibility of the Appointing Officer. The appointing officer is responsible for making selections for appointment. Selections are to be made on the basis of merit. Discrimination may not be made for any nonmerit factor; e.g., race, color, religion, sex, age or national origin.

.13 Rule of Three. Selection is made from among the three highest rated available eligibles from the appropriate register for the type of appointment being offered.

.14 Non-selection of a Veteran. A veteran preference eligible may not be passed over to select a nonpreference eligible, unless the installation head objects to the veteran and the objection is sustained as a passover. (See P–11, Chapter 2, for requirements in nonselection of a veteran.)

342.2 Auditing Hiring Worksheets

After all appointments are made and each action properly documented, the hiring worksheet is kept on file for a period of 5 years. Hiring actions and procedures are periodically audited according to provisions contained in P–11.

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350 Assignment, Reassignment, and Promotion

351 Introduction

351.1 Purpose and Scope

.11 Employee Utilization. Postal officials in charge of installations have overall responsibility for effective utilization of human resources. Supervisory employees at all levels have specific responsibilities for the improvement of utilization of human resources. Postal officials in charge of installation and supervisors must carefully plan and analyze anticipated workload to insure the use of the minimum force consistent with effective operations.

.12 Filling Postal Positions. Most postal positions, except entrance-level positions, are filled by the assignment, reassignment, or promotion of postal employees.

.13 Eligibility for Promotion. An employee serving under a *career appointment* is eligible for reassignment or promotion. An employee serving under a *temporary or casual appointment* is eligible for reassignment, but not for promotion.

351.2 Positions Not to be Filled on a Permanent Basis

Any position (a) to which a career employee has been granted reemployment rights or (b) from which the regular incumbent is temporarily absent may be filled only on a temporary basis. Examples of such situations and the conditions for filling the position temporarily are given in Handbook P–11, *Personnel Operations,* Section 514.2. See also 364.31 and 366.234. Employees temporarily promoted pending the return of employees having reemployment rights are considered for reassignment to permanent positions when such positions become vacant in the same installation and level. This leaves the position to which an employee is entitled to reemployment rights available for the return of the absent employee or for again filing by temporary promotion.

351.3 Qualification, Eligibility, and Physical Requirements

.31 Qualification. Employees selected for a position must meet the minimum qualification requirements and any essential selective placement factors established for the position. (See P–11, Part 512, for explanation, and P–12 for specific qualification standards.)

.32 Eligibility

.321 Eligibility for consideration for some positions is limited to employees in specific grades, occupations, geographic areas, or organizations. These limitations are described in subsequent parts of the subchapter and in Handbook P–11.

.322 Employees with restoration rights by reason of military duty are considered for promotion and conversion to full-time status if otherwise eligible. Employees on extended leave including LWOP are also considered provided they are otherwise eligible and have submitted an application. The personnel action is effected upon return to duty. The action is dated as of the date the change would have occurred had the employee not been absent. Upon selection and while the personnel action is pending, notation of the selection is made in the employee's personnel folder and on Form 7, *Service Record Card,* if that form is maintained.

.33 Physical Requirements. Normally, employees must meet the physical standards for the positions to which assigned. (See P–11, Chapter 3, for explanation, including situations in which physical standards are waived.)

351.4 Equal Opportunity

Equal opportunity for assignment and promotion must be based on merit and the relevant experience, training, knowledge, skills, and ability required for the positions being filled. Effective utilization of employees requires that selections be made without discrimination because of race, color, sex, religion, age, national origin, political affiliation, marital status, or physical impairment (if the position may be efficiently performed by a person with the physical impairment).

351.5 General Promotion Policies

.51 Merit Promotion Program. The promotion program for positions in the Postal Service is based on merit principles. It is designed to provide the means for making selections for promotions according to the relative qualifications of the employees eligible for consideration . Officials engaged in the selection process must administer the program systematically, uniformly, and equitably. Promotions to craft positions must be in accord with any applicable collective bargaining agreement.

.52 Objectives of the Program. The objectives of the merit program are to obtain maximum effectiveness and efficiency in postal operations by:

a. Bringing highly qualified candidates to the attention of management on a timely basis.

b. Assuring best placement of employees according to their capabilities and potential.

c. Maximizing use of the special skills and abilities of employees.

d. Providing employees an incentive to improve their performance and develop their skills, knowledge, and abilities.

e. Providing all employees the maximum possible opportunity for advancement, and ensuring that qualified employees who are eligible and available are given fair and appropriate consideration when filling higher grade vacancies.

.53 Policies. The following promotion policies apply:

a. First consideration is given to qualified employees within the USPS. The area of employee consideration is broad enough to provide a supply of well-qualified candidates for promotion. The selecting official is provided an adequate number of well-qualified candidates from which to choose, but should not be burdened with a lengthy list of candidates to consider.

b. Consideration is given to postal employees outside the initial area of consideration when appropriate and necessary to ensure an adequate number of qualified candidates and to ensure selection from among the best qualified.

c. Required files are maintained (see P–11, Part 512); adequate procedures are developed for periodic review of promotion actions; and appropriate corrective action is taken if program, procedural, or regulatory violations and/or deficiencies are found.

d. Employees selected for promotion are released from their current positions without undue delay. This is normally not later than 2 to 4 weeks after selection or in conformance with the provisions of any applicable labor agreement.

e. Information is made available to employees, upon request, about requirements and procedures of the promotion program and the promotion plan affecting them; about opportunities for promotion available to them; about their eligibility in specific promotion actions; and about the identity of the person selected.

f. Restrictions on the promotion (or recommendation for promotion) of immediate relatives are explained in P–11, Part 312.3.

.54 Applicability to other Personnel Actions. Competitive promotion procedures apply to certain other personnel actions.

a. Filling a higher grade position by selection from among postal employees on any entrance register.

b. Selecting an employee for training where the training is required for promotion (i.e., applies to cases whereby only an employee who has completed the training is eligible for the promotion).

.55 Exceptions to Competitive Promotion Procedures. Promotions excepted from competitive procedures are listed in P–11, Part 513.2

.56 Temporary Promotions. The conditions when temporary promotions are applicable, including their termination, are described in P–11, Part 514.2.

351.6 Mutual Exchanges

.61 General Policy. *Career employees* may exchange positions (subject, when necessary, to the provisions of the appropriate collective bargaining agreement) if the exchange of positions is approved by the officials in charge at the installations involved. *Part-time flexible employees* are not permitted to exchange positions with full-time employees, nor bargaining-unit employees with non-bargaining unit employees, nor non-supervisory employees with supervisory employees. Mutual exchanges must be between positions at the same grade. An exchange of positions does not necessarily mean that the employees involved take over the duty assignments of the positions.

.62 Rural Letter Carrier Employees. The mutual exchange of two rural letter carrier employees of different post offices is permitted in accordance with the applicable provisions of the USPS–NRLCA National Agreement. Mutual exchanges between two rural letter carrier employees in the same post office and between rural letter carrier employees and members of the other crafts are not permitted.

352 Selection for Positions Within the Bargaining Unit

352.1 Procedures and Requirements

Procedures and requirements for filling craft positions are found in the following publications:

a. The appropriate collective bargaining agreement contains governing policies and procedures affecting bidding, assignments, reassignments, higher-grade assignments, and promotions.

b. Handbook P–1 Contains position descriptions and craft assignments for all craft positions.

c. Handbook P–11, Parts 510 and 520, contain detailed procedures and administrative requirements.

d. Handbook P–12B and C contains qualification standards for craft positions.

352.2 New and Changed Requirements

New requirements and changes in existing requirements are normally published as revisions to the publications listed in 352.1. Sometimes, however, they are first published in *Postal Bulletins* or *Management Instructions* for subsequent incorporation in the appropriate publication.

353 Selection for Non-Bargaining Unit Positions

353.1 Promotion

.11 Definition. A *promotion* is the permanent assignment, with or without relocation, of an employee (a) to an established position having a higher grade than the position to which the employee was previously assigned in the same schedule or (b) to a position with a higher than equivalent grade in another schedule. (See 411.4 for exceptions.)

.12 Procedures. In addition to the general promotion policies in 351.5, specific policies and procedures govern promotion to various non-bargaining unit positions. Selection procedures for Postmaster and SCM are described in 355; for Postal Career Executive Service, in 380; and for other non-bargaining unit positions, in Chapter 5 of P–11.

353.2 Reassignment

.21 Definition. A *reassignment* is the permanent assignment, with or without relocation, of an employee (a) to another established position with the same grade in the same schedule or (b) to a position with an equivalent grade in another schedule.

.22 Management Option. Authorized management officials may reassign non-bargaining unit employees without following regular competitive procedures.

.23 Employee Self-Nomination. Employees who desire reassignment may nominate themselves in the same manner provided for employees who desire promotion consideration.

.24 Unassigned Employees. Unassigned employees (i.e., employees whose positions have been abolished) are reassigned in accordance with 354.

353.3 Temporary Assignment

.31 Definition. A *temporary assignment* is the placement of an employee in another established position for a limited period of time to perform duties and responsibilities other than those specifically set forth in his position description when a formal reassignment and/or promotion personnel action is not required.

.32 General Policies

.321 Temporary assignments to non-bargaining unit positions are made only for the shortest practicable time limits, and may be authorized to meet emergencies caused by abnormal workload, change in mission or organization, or unanticipated absences. In the case of absence of a non-bargaining unit employee (except a postmaster or SCM), the appointing official attempts to have the duties of the absentee's position absorbed by the other employees of the same or higher grade. If this is not feasible, a qualified employee may be temporarily assigned to the position under the policies and procedures described in the following sections. Such assignments must be carefully monitored by management to confirm their continued necessity.

.322 Any qualified employee who best meets service needs may be temporarily assigned by the appointing officer (or his designee). Normally, priority is given to unassigned employees (i.e., employees whose positions have been abolished). Policies and procedures governing the temporary assignment of unassigned employees are in 354.

.323 Employees recuperating from a serious injury or illness who are unable to perform their regularly assigned duties, may (if administrative feasible) be temporarily assigned to such duties as they can perform for a short period of time pending their recovery. Generally, these employees should be required to present acceptable medical evidence.

.324 A temporary assignment may be terminated at any time by management, either at its own discretion of at the request of the employee.

.33 Time Limits

.331 Temporary assignment of an employee to a position at the same grade or at a lower grade may not exceed 90 calendar days, which may be extended by the next-higher level of management above the appointing official. See 353.34 for time limits on temporary assignment to a higher-grade position.

.332 Any temporary assignment for 30 or more calendar days must be authorized with Form 1633, *Assignment Record*. (See 417).

.34 Higher-Grade Temporary Assignment

.341 All managerial and supervisory personnel ensure that no one is temporarily assigned into a higher grade non-bargaining unit position *unless* such an assignment is absolutely essential to the effective operations of the Postal Service, and the person selected assumes the full core responsibilities of the higher grade position.

.342 MSC managers and bulk mail center managers are required to approve in advance any higher-grade temporary assignment of 30 or more calendar days in an organization under their respective jurisdictions.

.343 A bargaining unit employee or a non-bargaining unit employee is not normally temporarily assigned to a higher grade position at EAS 1—16 in the field. If such an assignment is necessary, it must be approved in advance by the installation head. If the assignment is for 30 or more calendar days, it must be approved by the MSC manager or bulk mail center manager.

.344 Temporary assignment to a higher-grade position, *during the absence of the incumbent*, is limited to a maximum period of 90 calendar days, which may be extended with the prior approval of the Regional Postmaster General.

.345 Temporary assignment to a higher-grade vacant position, *pending selection of a person for permanent assignment*, is limited to a total of not more than 60 calendar days. If the employee on temporary assignment is a candidate for the vacant position, the higher-grade assignment must be terminated before the 61st day. If that employee is not a candidate, the next-higher level of management above the appointing official may approve an extension of that employee's temporary assignment beyond 60 days, until a selection is made and approved and the new incumbent assumes the position. (The preceding policy does not apply to temporary higher-grade assignments to postmaster, SCM, or initial-level supervisor positions.)

.346 Rules governing higher level pay for temporary assignment to higher grade non-bargaining unit positions are in 416.

.347 The use of higher-grade temporary assignments and temporary promotions in USPS Headquarters is described in 416.43 and in appropriate Headquarters Circulars.

353.4 Realignment or Reevaluation

In a realignment or reevaluation involving non-bargaining unit positions, the Office of Organizational Management determines the effect on individual positions (see 163.75). Based on those determinations, the following general rules apply in assigning incumbents and filling affected positions:

a. The incumbent is automatically assigned to the position if there is no significant change in duties or responsibilities and no change in grade.

b. The incumbent is promoted non-competitively if the position is upgraded with no significant change in duties or responsibilities.

c. The incumbent has no assignment or promotion *right* to the new position if there is a significant change in duties and responsibilities which results in the authorization of a new position at the same or a higher grade and in the abolishment of the present position. The new position is filled in accordance with regular procedures, and the incumbent of the abolished position is assigned in accordance with 354.

d. The incumbent is treated in accordance with 354.241 in any situation where a position is evaluated at a lower grade.

354 Assignment of Unassigned Employees

354.1 Policy

.11 Bargaining Unit Employees. Assignment of excess bargaining unit employees must be in accordance with the applicable provisions of the National Agreement.

.12 Non-Bargaining Unit Employees

.121 Assignment of unassigned career non-bargaining unit employees must be in accordance with the procedures described in 354.2, 354.3, or 354.4, as appropriate. The SAPMG, E & LR may authorize variations in the assignment procedures under special circumstances.

.122 Postal policy provides equal opportunities for all employees without discrimination because of race, color, religion, sex, national origin, or age. Especially in exercising the various managerial options described in these procedures, managers are responsible for ensuring and documenting, where appropriate, that no discriminatory impact results from discussions or personnel actions implementing these procedures.

354.2 Assignment of Non-Bargaining Unit Employees

.21 Coverage

.211 The following procedures govern the assignment of career non-bargaining unit employees (a) whose positions have been abolished, or (b) when there is a reduction in the number of positions with the same occupational code, or (c) whose positions are downgraded as a result of realignment or change in duties and responsibilities.

.212 These procedures apply to non-bargaining unit employees of MSCs, associate offices, bulk mail centers, and other mail processing installations.

.213 These procedures do not apply to the following non-bargaining unit employees:

a. Employees involved in the discontinuance or consolidation of a post office (See 354.3).

b. Postmasters and MSC managers/postmasters.

c. Employees of Headquarters, administrative supporting facilities (Headquarters-related units), regional headquarters, regional headquarters field offices, and district offices. (See 354.4.)

.214 Under previous restructuring policies published in 1975, some employees of associate offices and carrier stations and branches, who could not be placed, were assigned to the positions of Post Office Supervisor (Occupational Code 2340-6666) or Sectional Center Supervisor (Occupational Code 2340-7777). These are "holding positions" until the individual is placed in a permanent position. These procedures now apply to the permanent placement or temporary assignment of those employees who are still assigned as Post Office Supervisors or Sectional Center Supervisors, to the extent that any special rights previously granted specifically to an individual are not diminished. These rights include saved grade, retreat rights, and no involuntary reassignment outside the commuting area.

.215 Similarly, some MSC employees, who were not in carrier stations or branches, were also assigned as Sectional Center Supervisors. Although saved grade was accorded to these employees, none of the other special rights listed in 354.214 were granted. These procedures now apply to the permanent placement or temporary assignment of those employees who are still assigned as Sectional Center Supervisors, except that saved grade continues to apply in the new assignment.

.216 Employees placed in permanent assignments (not as Post Office Supervisors or Sectional Center Supervisors) under previous restructurings who hereafter are effected by any of the situations listed in 354.211 are covered by these procedures, except that saved grade continues to apply and any retreat right previously granted may still be exercised.

.217 Except as specified in 354.214, .215, and .216, none of the foregoing special rights are applied to the employees covered by these procedures.

.22 General Provisions

.221 Discussions with Employees. Prior to initiating an assignment under these procedures, management is responsible for talking with each affected employee. The discussion should center around a determination of the employee's own skills, qualifications, and preferences. Follow-up discussions are held regularly in order to advise the employee of the progress being made in finding a suitable assignment.

.222 Reduction in Number of Identical Positions. The following procedure applies when two or more employees occupy positions with the same eight-digit occupation code, and there is a reduction in the number of these positions authorized in an installation:

a. All present incumbents are considered for the remaining positions, and the most appropriate selection is made, taking into consideration employees' qualifications, status, and expressed preferences. At management's option, an advisory panel or review committee may be designated to recommend the most appropriate selection. The reasons for selection and non-selection are documented by the appointing official.

b. Those employees not selected are assigned in accordance with the procedures below.

.223 Utilization of Employees. Management insures that employees affected under these procedures are provided with productive work assignments until they are placed in authorized positions. (See 234.27.)

.23 Placement of Employee Into an Authorized Position

.231 Assignment at Same Grade

a. Employees affected by these procedures are considered for assignment to suitable vacant positions evaluated at the same or equivalent grade, before consideration may be given to employees not covered by these procedures. Management attempts to reassign the affected employee to a vacancy in the employee's present installation. If this effort is unsuccessful, management then attempts to reassign the employee to a vacant position in another installation within the commuting area.

b. If necessary, management expands the area of placement consideration *in the following order* until a suitable vacancy is identified in an installation for reassigning the employee. (As feasible, the employee's reassignment preference is given appropriate consideration.)

(1) Installations in the MSC area;

(2) Installations in contiguous MSC areas within the district;

(3) Installations anywhere within the district.

c. In order to affect placement, the Regional Director, Employee and Labor Relations is authorized to further expand the area of placement consideration to installations in contiguous districts or region-wide.

d. It is preferred that an employee be offered and accept reassignment voluntarily. The Regional Director, E & LR, may authorize the involuntary lateral reassignment of an employee where required and provides guidance to field management. An employee who declines a directed reassignment may be subject to involuntary separation from the Postal Service. The Regional Director, E & LR may authorize such an action, based on the individual circumstances.

e. An individual who has a previously granted retreat right receives priority consideration over all other employees in exercising that right. Otherwise, in considering two or more employees (including those who occupy abolished positions or positions as Post Office Supervisor or Sectional Center Supervisor), the most appropriate selection is made. At management's option, an advisory panel or review committee may be designated to recommend the most appropriate selection.

.232 Assignment to Lower Grade

a. Management may offer, and an employee may voluntarily accept, in writing, assignment to a lower grade vacant position. Sample acceptance format is as follows:

"On ___(date)___ I was/have been offered, and I hereby accept, the position of ___(title)___, ___(grade)___, ___(salary)___, effective ___(date)___. Rate retention is granted as described in ELM 410. This offer has been accepted voluntarily, without coercion or intimidation.
___(Employee's signature and date)___."

b. Saved grade is not authorized to preserve an employee's grade in lieu of an actual change to a lower grade, except as provided in 354.21.

.233 Assignment to Higher Grade. Except as provided in 354.25, an employee who is pending assignment under thesse procedures must compete with other [illegible] employees for promotional opportunities under the normal selection procedures.

.234 Final Action. If an employee cannot be assigned under the foregoing provisions within a reasonable time (normally no more than 6 months), the District Manager notifies the Regional Director, E & LR who then consults with the APMG, Employee Relations Department, about the next appropriate action. Such action may culminate in the implementation of procedures for involuntary personnel actions other than lateral reassignments.

.235 Relocation Expenses. Expenses involved in an employee's relocation outside the commuting area for assignment under these procedures is paid by the gaining installation in accordance with Handbook M–9, *Travel.*

.236 Qualification and Eligibility Requirements

a. An employee must meet the prescribed minimum qualification requirements for the position to which assigned under this procedure. The Regional Director, E & LR, may waive the minimum requirements in individual cases where there is evidence that the employee can be expected to satisfactorily perform the duties of the position within 90 days after assignment. A written record is maintained which states the specific reasons for granting any such waiver.

b. For assignment to an initial-level supervisor position covered by the *Profile Assessment System for Supervisors (PASS)* or the *written appliation procedures*, the prescribed minimum qualifications requirements apply and may not be waived.

c. Normal competitive selection procedures, including advisory panels or review committees, may be waived in assigning an employee covered by these procedures, unless a promotion is involved.

.24 Special Provision for Incumbent of Downgraded Position

.241 When a position is downgraded as a result of realignment or change in the duties and responsibilities of the position, management first offers the incumbent the opportunity to accept assignment to the downgraded position, with pay set under applicable rate retention rules (saved grade is not authorized). In so doing, management is required to notify the employee in writing that, if he declines this offer, attempts will be made to

reassign the employee laterally (as described in 354.231.) An employee's acceptance of the downgraded position must be voluntary and in writing. (See 354.232 for sample acceptance format.)

.242 If the employee declines the foregoing offer, he is assigned in accordance with 354.23.

.25 Special Provision for Assignment to Initial-Level Supervisor Positions. Under the procedure in 354, only present or former supervisors may be assigned at their same or lower grades to initial level supervisor positions covered by the *Profile Assessment System for Supervisors (PASS)* or the *written application procedures*.

.26 Normal Selection Procedure

.261 If the foregoing procedures do not result in a selection for a vacant position, a district manager, with the prior approval of the Regional Director, E & LR, may authorize filing a non-bargaining unit position in the normal procedure.

.262 Normally, promotion or reassignment of other employees is not authorized if an employee covered by these procedures is qualified and available for the vacant position through reassignment or voluntary acceptance of lower grade.

.27 Temporary Assignments

.271 Whenever possible, a temporary need for a replacement in a non-bargaining unit position is met by assigning the additional duties to another qualified non-bargaining unit employee, without resort to higher-grade assignments. Otherwise, a qualified employee covered by these procedures who is available within the commuting area and is pending permanent assignment is normally utilized on temporary assignment in these situations.

.272 Where the district manager determines it is cost-effective and operationally-sound, a qualified employee covered by these procedures may be temporarily assigned to a different installation within the MSC area or, if needed, within the district. The gaining installation pays the employee's travel and per diem expenses, and for assignments of more than one full pay period, is charged with the payroll costs, utilizing the loaned hours procedure.

.273 In an emergency situation when the preceding procedures for temporary assignment are not feasible, and a higher-grade temporary assignment is authorized, a qualified available employee covered by these procedures receives first consideration before any other qualified employee.

.28 Subsequent Personnel Actions

.281 Employees assigned under these procedures do not acquire a right to return to their former positions or installations. At its option, management may elect to return an employee when a vacancy subsequently occurs in the same kind of position or at the same installation in which the employee served prior to assignment. Employees who voluntarily accept a lower-grade position under these procedures may subsequently be assigned (under the following exception to normal procedures) to positions that do not exceed the grade from which they were downgraded.

.282 The normal promotion and reassignment procedures, including competition and review committee, may be waived in effecting the actions described in 354.281. However, employees must meet the prescribed minimum qualifications requirements for the positions to which they are assigned.

354.3 Actions for Non-Bargaining Unit Employees in Connection with the Discontinuance and Consolidation of Post Offices

.31 Background. Statutory and regulatory requirements mandate consideration of the effect of closing or consolidating a post office on USPS employees in that office, and making a public record and analysis concerning the effect on these employees.

.32 Definition of Terms

.321 *Sectional Center Manager* (SCM) refers to the SCM who is proposing the discontinuance of a post office within that MSC area under Domestic Mail Manual (DMM) 113.

.322 *Discontinuance* of a post office includes the consolidation of the post office with another post office and replacing it with either a community post office, or a classified or contract station or branch, as well as the discontinuance of a post office without establishing another facility to replace it.

.33 Planning Considerations. The dual objectives of minimizing the impact on individual employees and maximizing the economies to be affected by consolidating or discontinuing post offices can best be achieved through careful planning and judicious placement of impacted employees. Management (a) keeps employees informed at each step of the process and (b) identifies positions appropriate for reassignment and for which employees are willing to accept reassignment voluntarily.

.34 Postmaster and Supervisors

.341 Postmasters. When the SCM proposes to recommend the discontinuance of a post office for which there is an incumbent postmaster, each of the following alternatives, as applicable and appropriate, are discussed with the incumbent postmaster and the SCM prepares a memorandum for the record stating which alternative is recommended. The following alternatives are available:

a. Reassignment to Another Postmaster Vacancy—The SCM may recommend that the established procedures for the nomination and selection of postmasters be waived by the Postmaster General as provided for in 355, and that the postmaster be reassigned to an existing postmaster vacancy located within the same or a contiguous MSC or another MSC within the district. The SCM includes in the memorandum for the record a statement that the postmaster meets the requirements and qualifications of the vacant postmaster position to which reassignment is recommended and can satisfactorily perform the duties of that position. A signed statement from the postmaster that the reassignment as recommended by the SCM, if approved will be accepted, must also be obtained for the record.

b. Unavailable Postmaster Vacancy—In the event there is no postmaster vacancy to which an affected postmaster may be reassigned, the MSC manager notifies the postmaster and the district manager in writing. If such affected postmaster accepts a non-postmaster assignment, that postmaster retains the rights, for 104 weeks from the date of reassignment to such non-postmaster position, to be offered a postmaster position for a vacancy located within the same or a contiguous MSC or another MSC within the district at his former level when one develops. Declination of an offer in writing, voluntary acceptance of a lower-level postmaster position, or promotion to a higher-level postmaster positions terminates the right to be offered a postmaster vacancy at the postmaster's former level.

c. Reassignment to a Supervisory Vacancy—If there are no postmaster vacancies available for possible reassignment, or if it is determined and documented for the record that the postmaster does not meet the requirements and qualifications of the vacant postmaster positions available for possible reassignment and cannot satisfactorily perform the duties of those positions, the SCM may recommend that the postmaster be reassigned to an existing supervisory vacancy located within the same or a contiguous MSC or another MSC within the district including that of station or branch manager of the classified station or branch established as a result of a consolidation. The SCM includes for the record a statement that the postmaster meets the requirements and qualifications of the vacant supervisory position to which reassignment is recommended and can satisfactorily perform the duties of that position, and a signed statement from the postmaster that the reassignment as recommended by the SCM will, if approved, be accepted.

d. Reassignment to Another Position in the Postal Service—If there are no postmaster or supervisory vacancies within the same or a contiguous MSC or a MSC within the district to which the postmaster can be reassigned, because either the vacancies do not exist or it is determined and documented for the record that the postmaster does not meet the requirements and qualifications of the position which are available for possible reassignment and cannot satisfactorily perform the duties of those positions, the SCM recommends that the postmaster be reassigned to another position in the Postal Service. As appropriate, postmasters at non-city delivery offices may be offered available full or part-time clerk or carrier positions or other available craft positions for which qualified. In all such cases, the individual's seniority is established in strict accordance with the applicable provisions of the National Agreement. In recommending reassignment to another position in the Postal Service, every effort is made to recommend a positio for which the annual pay that the postmaster can expect to receive is as nearly equal as possible to the pay received during the last year as a postmaster. A signed statement from the postmaster that the reassignment to another position in the Postal Service as recommended by the SCM will, if approved, must be obtained for the record.

e. Voluntary Retirement—Eligibility for voluntary retirement is established if, by the anticipated date of discontinuance of the post office, the postmaster has been employed under the Civil Service retirement system for at least one year within the two-year period preceding the discontinuance, and:

(1) Has at least 30 years of creditable service and is at least 55 years of age; or

(2) Has at least 20 years of creditable service and is at least 60 years of age; or

(3) Has at least 5 years of creditable service and is at least 62 years of age.

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The SCM advises the postmaster of the eligibility for voluntary retirement. Under no circumstances may the SCM attempt to coerce the postmaster into taking voluntary retirement in lieu of reassignment to a postmaster, supervisory or any other position in the Postal Service. The decision to take voluntary retirement in lieu of reassignment must be made by the postmaster, and this alternative may not be recommended by the SCM unless it has been chosen by the postmaster.

f. Discontinued Service Annuity—Eligibility or a discontinued service annuity is established if, by the recommended date of discontinuance of the post office, the postmaster has been employed under the Civil Service retirement system for at least one year within the two-year period preceding the discontinuance and

(1) Has at least 25 years of creditable service regardless of age; or

(2) Has at least 20 years of creditable service and is at least 50 years of age.

The SCM advises the postmaster of the eligibility for a dicontinued service annuity and that under present law this type of an annuity requires a reduction of ¼ of 1% for each month the employee is under 55 years of age at the time of retirement. Under no circumstances may the SCM attempt to coerce the postmaster to accept a discontinued service annuity in lieu of assignment to a postmaster, supervisory or any other position in the Postal Service. The decision to accept a discontinued service annuity in lieu of reassignment must be made by the postmaster and this alternative may not be recommended by the SCM unless it has been chosen by the postmaster.

.342 Supervisors. When the SCM proposes to recommend the discontinuance of a post office at which a supervisor is stationed whose position would be abolished, each of the following alternatives, as applicable and appropriate, is discussed with the affected supervisor and the SCM prepares a memorandum for the record stating which alternative is recommended. The following alternatives are available:

a. Reassignment to a Postmaster Vacancy—The SCM may recommend that the established procedures for the nomination and selection of postmasters be waived by the Postmaster General as provided for in 355, and that the supervisor be reassigned to an existing postmaster vacancy located within the same or a contiguous MSC or another MSC within the district. The SCM includes for the record a statement that the supervisor meets the requirements and qualifications of the vacant postmaster position to which reassignment is recommended and can satisfactorily perform the duties of that position, and a signed statement from the supervisor that the reassignment as recommended by the SCM will, if approved, be accepted.

b. Reassignment to a Supervisory Vacancy—The SCM may recommend that the supervisor be reassigned to an existing supervisory vacancy located within the same or a contiguous MSC, or another MSC within the district including that of a station or branch established as a result of a consolidation. The SCM includes for the record a statement that the supervisor meets the requirements and qualifications of the vacant supervisory position to which reassignment is recommended and can satisfactorily perform the duties of that position, and a signed statement from the supervisor that the reassignment as recommended by the SCM will, if approved, be accepted.

c. Reassignment to Another Position in the Postal Service—If there are no postmaster or supervisory vacancies within the same or a contiguous MSC or another MSC within the district to which the supervisor can be reassigned, either because the vacancies do not exist or it is determined and documented for the record that the supervisor does not meet the requirements and qualifications of the positions which are available for possible reassignment and cannot satisfactorily perform the duties of those positions, the SCM recommends that the supervisor be reassigned to another position in the Postal Service. Supervisors may be offered available full or part-time positions as clerk or carrier or other craft positions for which qualified. In all such cases, the individual's seniority is established in strict accordance with the applicable provisions of the National Agreement. A signed statement from the supervisor that the reassignment to another position in the Postal Service as recommended by the SCM will, if approved, be accepted, must be obtained for the record.

d. Voluntary Retirement—Eligibility for voluntary retirement is established if, by the expected date of discontinuance of the post office, the supervisor has been employed under the Civil Service retirement system for at least one year within the two-year period preceding the discontinuance, and:

(1) Has at least 30 years of creditable service and is at least 55 years of age; or

(2) Has at least 20 years of creditable service and is at least 60 years of age; or

(3) Has at least 5 years of creditable service and is at least 62 years of age.

The SCM advises the supervisor of the eligibility for voluntary retirement. Under no circumstances may the SCM attempt to coerce the supervisor into taking voluntary retirement in lieu of reassignment to a postmaster, supervisory or any other position in the Postal Service. The decision to take voluntary retirement in lieu of reassignment must be made by the supervisor and this alternative may not be recommended by the SCM unless it has been chosen by the supervisor.

e. Discontinued Service Annuity—Eligibility for a discontinued service annuity is established if, by the recommended date of discontinuance of the post office, the supervisor has been employed under the Civil Service retirement system for at least one year within the two-year period preceding the discontinuance, and

(1) Has at least 25 years of creditabl service regardless of age; or

(2) Has at least 20 years of creditable service and is at least 50 years of age.

The SCM advises the supervisor of the eligibility for a discontinued service annuity and that under present law this type of an annuity requires a reduction of 1/6 of 1% for each month the employee is under 55 years of age at the time of retirement. Under no circumstances may the SCM attempt to coerce the supervisor into accepting a discontinued service annuity in lieu of reassignment to a postmaster, supervisory or any other position in the Postal Service. The decision to accept a discontinued service annuity in lieu or reassignment must be made by the supervisor and this alternative may not be recommended by the SCM unless it has been chosen by the supervisor.

.343 Reassignment to Higher Grade Position. In situations where the proposed reassignment would be to a higher grade position and a promotion procedure is prescribed by regulation, that promotion procedure must be followed.

.344 Salary Protection. See 411.4 on salary protection.

.345 Relocation Expenses. Any postmaster or supervisor reassigned as a result of the discontinuance of the post office where employed is entitled to reimbursement of approved relocation expenses consistent with the rules and regulations set forth in Handbook M–9, *Travel*.

.346 Discussions with Postmasters and Supervisors. Whenever possible, it is the personal responsibility of the SCM to discuss with the affected postmasters and supervisors the alternatives available to them incident to the discontinuance of their post office of employment. In those isolated instances where it may not be possible for the SCM personally to discuss this with the affected postmasters and supervisors, it is performed by one of the Sectional Center Directors as designated by the SCM.

.347 Subsequent Personnel Actions. Employees who voluntarily accept a lower-grade position may subsequently be assigned to positions that do not exceed the grade from which they were downgraded. The normal promotion procedures, including competition and review committee, may be waived. However, employees must meet the prescribed minimum qualifications requirements for the positions to which they are assigned. Eligibility for special placement in postmaster positions described in 354.341 is limited to 104 weeks.

.348 Refusal of Reassignment Offer. If a postmaster or supervisor is offered reassignment to a postmaster, supervisory or any other position in the Postal Service and refuses to accept any of these alternatives, reduction in force procedures are instituted. It is the responsibility of the postmaster or supervisor to apply for any retirement benefits for which eligible. If the postmaster or supervisor is separated from the Postal Service and is not eligible for either voluntary retirement or a discontinued service annuity, severance pay is paid if provided for in the relevant Postal Service rules and regulations.

.423 Reduction in Number of Identical Positions

The following procedure applies when two or more employees occupy positions with the same eight digit occupation code, and there is a reduction in the number of these positions within an organization:

a. All present incumbents are considered for the remaining positions, and the most appropriate selection is made, taking into consideration employees' qualifications, status, and expressed preferences. At management's option, a review committee may be designated to recommend the most appropriate selection. The reasons for selection and non-selection are documented by the selecting official.

b. Those employees not selected are assigned in accordance with the procedures in 354.43.

.424 Utilization of Employees

Management is responsible for ensuring that employees affected by the situations in 354.411 are provided with productive work assignments until they are placed in another position. Employees are carried on the rolls in their regular positions until placed.

.43 Assignment of Employees in Abolished or Changed Positions

.431 Assignment at Same Grade

a. If a position is abolished or is substantially changed, the incumbent is entitled to be considered for any suitable vacant positions at the same grade within that regional headquarters, that regional headquarters field office, or that district office. This consideration occurs before any non-affected employees may be considered for the position.

b. Regional Postmasters General have the discretionary authority to reassign employees to vacancies at the same grade level in any office or installation under their jurisdiction. Also, in coordination with the appropriate SAPMG or Officer reporting directly to the Postmaster General, employees may be assigned to vacancies at the same grade level in USPS Headquarters or any of its Administrative Supporting Facilities.

c. It is preferred that an employee be offered and accept reassignment voluntarily. The Regional Director, E & LR, may authorize the involuntary lateral reassignment of an employee where required, and provides appropriate guidance to management. An employee who declines a directed reassignment may be subject to involuntary separation from the Postal Service. The Regional Director, E & LR, may authorize such an action, based on the individual circumstances.

d. In effecting an assignment under these procedures, the regular competitive selection procedures do not apply, unless a promotion is involved. In considering two or more affected employees for the same vacancy, the most appropriate selection is made. At management's option, a review committee may be designated to recommend the most appropriate selection.

.432 Assignment to Lower Grade

a. Management may offer, and an employee may voluntarily accept in writing, assignment to a lower grade vacant position. Sample acceptance format is as follows:

"On (date) I was/have been offered, and I hereby accept the position of (title), (grade), (salary), effective (date). This offer has been accepted voluntarily, without coercion or intimidation. (Employee's signature and date.)"

b. Rate retention applies as described in 410.

c. Saved grade is not authorized to preserve an employee's grade in lieu of an actual change to a lower grade. *Exception:* employees who were authorized saved grade under any previous restructuring continue in their saved grade in the event they are subsequently affected by any of the situations listed in 354.411.

.433 Assignment to Higher Grade

An employee who is pending assignment under these procedures must compete with other qualified employees for promotional opportunities under the normal selection procedures.

.434 Special Category File

a. The E & LR Group maintains a file of employees at EAS-17 and above in abolished or changed positions in USPS Headquarters, its Administrative Supporting Facilities, and the organizations covered by these procedures.

b. If such an employee is not assigned through one of the preceding steps, the Regional Postmaster General requests that the employee be enrolled in the special category file. The request, accompanied by a current Form 991, *Personal History Summary* and a current Form 2577, *Estimate of Potential* on the employee, is forwarded to the SAPMG, E & LR. Separate sheets are attached to Form 991, elaborating fully on the employee's qualifications. Form 2577 must be signed by the employee's immediate manager and the next higher level manager. The request should state the efforts which have already been made to assign the employee.

c. When a vacancy at EAS-17 and above in a regional headquarters, regional headquarters field office, or district office is not filled by the assignment of an employee under 354.431 or .432, consideration must be given next to any qualified unassigned employees enrolled in the special category file. By memorandum, the Regional Director, E & LR, requests that the SAPMG, E & LR, review the file. If the vacancy is at grade EAS-23 or above, the request is accompanied by:

(*1*) An approved SF-52, *Request for Personnel Action*, with items C, D, E, 20, 21, 22, 24, 26, G, H, and I completed;

(*2*) An authorized position description; and

(*3*) A draft of a vacancy announcement for the position, specifying the qualifications required.

d. When a request is received, the file is reviewed by Headquarters employee relations specialists, including representatives of the EEO and Women's Program functions, to identify any available employees whose qualifications match the vacancy requirements. Forms 991 and 2577 of any such employees are forwarded to the Regional Director, E & LR. (If no qualified candidates are available, the Regional Director is so notified). These candidates are given priority consideration by the selecting official before other employees are considered under the regular selection process.

.435 Final Action

If an employee cannot be assigned by these procedures within a reasonable time (normally no more than 6 months), the Regional Director, E & LR, consults with the APMG, Employee Relations Department, about the next appropriate action. Such action may culminate in the implementation of procedures for involuntary personnel actions other than lateral reassignments.

.436 Qualification Requirements

An employee must meet the prescribed minimum qualification requirements for the position to which assigned under these procedures. The Regional Director, E & LR, may waive the minimum requirements in individual cases where there is evidence that the employee can be expected to satisfactorily perform the duties of the position within 90 days after assignment. A written record is maintained which states the specific reasons for granting any such waiver.

.44 Subsequent Personnel Actions

Employees assigned under these procedures do not acquire a right to return to their former positions or organizations. At its option, management may elect to return an employee when a vacancy subsequently occurs in the same kind of position or in the same organization in which the employee served before assignment. Employees who voluntarily accept a lower-grade position under these procedures may subsequently be assigned to positions that do not exceed the grade from which they were downgraded. The regular competitive procedures, including use of a review committee, may be waived in effecting these actions. However, employees must meet the prescribed minimum qualification requirements for the positions to which they are assigned.

355 Postal Manager's Merit Selection Program (Selection of Sectional Center Managers and of Postmasters)

355.1 General Provisions

.11 Policy

All postal managers are nominated, considered, selected, and appointed strictly on the basis of merit and qualifications and without regard to race, color, sex, religion, age, national origin, political affiliation, or any other non-meritorious factors or considerations. All postal managers involved in the postal manager's merit selection program are responsible for affirmative action to assure non-discrimination in the nomination of minority and women candidates.

.12 Applicability to Sectional Center Managers

.121 The provisions of parts 355.2 and 355.3 are applicable to all SCM vacancies regardless of whether the vacant position of SCM includes the title of postmaster for the MSC post office.

.122 The filling of Postmaster vacancies for post offices at Washington, DC, Chicago, IL and Los Angeles, CA is to be handled in the same fashion as the filling of SCM vacancies at MSCs.

.13 Community Relations

Postmasters are expected to identify with and be appropriately involved in the communities they serve and, while no residence requirement applies to postmasters, they may not live so far from their work location that they cannot adequately discharge their responsibilities as employees of the Postal Service.

.14 Acceptance Letter

Each applicant for SCM or Postmaster is required to complete and sign Form 2459, *Letter of Acceptance*, in order to be considered. The wording on this form is as follows:

"I would like to be considered for the position as Sectional Center Manager or Postmaster at *(City and State)*. I am available and will accept this position if I am selected. I understand if appointed I will not have retreat rights to my present position. If the Regional Postmaster General or District Manager determines that I do not live within the work location of this office, I am willing to move."

355.2 Nomination, Selection, and Appointment of Sectional Center Managers and Postmasters

.21 Authority to Fill Vacancies

The Regional Postmasters General authorize the filling of vacant SCM and postmaster positions existing within their respective regions.

.22 Publication and Posting of Vacancies and Procedures

.221 Publication. A listing of each SCM and postmaster vacancy which the RPMG has authorized filling is published on a continuous basis in the appropriate regional bulletin until a final determination has been made as to which candidates will be considered for possible selection and appointment as provided for in sections 355.341c, 355.432 and 355.444, at which time the vacant positions are removed from the list. The frequency of publication is normally that of the appropriate regional bulletin, but in those instances where regional bulletins are published every week, the list may be published in every other issuance. The list includes:

a. Name and location of the MSC or post office where the vacancy exists.
b. EAS or NCD grade of the vacant position.
c. Date of the vacancy.
d. Closing date of the posting.
e. Name of the district and MSC in which the vacancy is located.

.222 List of Vacancies. SCMs, postmasters, and all other postal installation managers assure that the most current list of vacancies is posted on employee bulletin boards in all postal installations under their jurisdiction. Each Regional Postmaster General assures that regional headquarters personnel have access to the vacancy list and forwards on a current basis a copy of the regional bulletin containing the list to Postal Service Headquarters in Washington for posting at that location.

354.4 Assignment of Employees in Regional Headquarters and Related Offices

.41 Coverage

.411 The following procedures govern the assignment of career non-bargaining unit employees of the organizations listed below: (a) whose positions have been abolished, or (b) when there is a reduction in the number of positions with the same occupational code, or (c) whose positions are downgraded as a result of realignment or change in duties and responsibilities.

.412 These procedures apply only to non-bargaining unit employees of regional headquarters, regional headquarters' field offices, and district offices.

.42 General Provisions

.421 Discussions with Employees. Prior to initiating an assignment under these procedures, management is responsible for talking with each affected employee. The discussion should center around a determination of the employee's own skills, qualifications, and preferences. Follow-up discussions should be held regularly in order to advise the employee of the progress being made in finding a suitable assignment.

.422 Reduction in Number of Identical Positions. The following procedure applies when two or more employees occupy positions with the same eight digit occupation code, and there is a reduction in the number of these positions within an organization.

a. All present incumbents are considered for the remaining positions, and the most appropriate selection is made, taking into consideration employees' qualifications, status, and expressed preferences. At management's option, a review committee may be designated to recommend the most appropriate selection. The reasons for selection and non-selection are documented by the selecting official.

b. Those employees not selected are assigned in accordance with the procedures in 354.43.

.423 Utilization of Employees. Management is responsible for ensuring that employees affected by the situations in 354.411 are provided with productive work assignments until they are placed in another position. Employees are carried on the rolls in their regular positions until placed.

.43 Assignment of Employees in Abolished or Changed Positions

.431 Assignment at Same Grade

a. If a position is abolished or is substantially changed, the incumbent is entitled to be considered for any suitable vacant positions at the same grade within that regional headquarters, that regional headquarters field office, or that district office. This consideration occurs before any non-affected employees may be considered for the position.

b. Regional Postmasters General have the discretionary authority to reassign employees to vacancies at the same grade level in any office or installation under their jurisdiction. Also, in coordination with the appropriate SAPMG or Office reporting directly to the Postmaster General, employees may be assigned to vacancies at the same grade level in USPS Headquarters or any of its administrative supporting facilities.

c. It is preferred that an employee be offered and accept reassignment voluntarily. The Regional Director, E & LR, may authorize the involuntary lateral reassignment of an employee where required, and provides appropriate guidance to management. An employee who declines a directed reassignment may be subject to involuntary separation from the Postal Service. The Regional Director, E & LR, may authorize such an action, based on the individual circumstances.

d. In effecting an assignment under these procedures, the regular competitive selection procedures do not apply, unless a promotion is involved. In considering two or more affected employees for the same vacancy, the most appropriate selection is made. At management's option, a review committee may be designated to recommend the most appropriate selection.

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.432 Assignment to Lower Grade

a. Management may offer, and an employee may voluntarily accept in writing, assignment to a lower grade vacant position. Sample acceptance format is as follows:

"On (date) I was/have been offered, and I hereby accept the position of (title), (grade), (salary), effective (date). Rate retention is granted as described in ELM 410. This offer has been accepted voluntarily, without coercion or intimidation. (Employee's signature and date.)"

b. Saved grade is not authorized to preserve an employee's grade in lieu of an actual change to a lower grade. *Exception:* employees who were authorized saved grade under any previous restructuring continue in their saved grade in the event they are subsequently affected by any of the situations listed in 354.411.

.433 Assignment to Higher Grade. An employee who is pending assignment under these procedures must compete with other qualified employees for promotional opportunities under the normal selection procedures.

.434 Special Category File

a. The E & LR Group maintains a file of employees at EAS-17 and above in abolished or changed positions in Headquarters, its administrative supporting facilities, and the organizations covered by these procedures.

b. If such an employee is not assigned through one of the preceding steps, the Regional Postmaster General requests that the employee be enrolled in the special category file. The request, accompanied by a current Form 991, *Personal History Summary* and a current Form 2577, *Estimate of Potential* on the employee, is forwarded to the SAPMG, E&LR. Separate sheets are attached to Form 991, elaborating fully on the employee's qualifications. Form 2577 must be signed by the employee's immediate manager and the next higher level manager. The request should state the efforts which have already been made to assign the employee.

c. When a vacancy at EAS–17 and above in a regional headquarters, regional headquarters field office, or district office is not filled by the assignment of an employee under 354.431 or .432, consideration must be given next to any qualified unassigned employees enrolled in the special category file. By memorandum, the Regional Director, E & LR, requests that the SAPMG, E & LR, review the file. If the vacancy is at grade EAS–23 or above, the request is accompanied by:

(1) An approved SF–52, *Request for Personnel Action,* with items C, D, E, 20, 21, 22, 24, 26, G, H. and I completed;

(2) An authorized position description; and

(3) A draft of a vacancy announcement for the position, specifying the qualifications required.

d. When a request is received, the file is reviewed by Headquarters employee relations specialists, including representatives of the EEO and Women's Program functions, to identify any available employees whose qualifications match the vacancy requirments. Forms 991 and 2577 of any such employees are forwarded to the Regional Director, E & LR. (If no qualified candidates are available, the regional director is so notified). These candidates are given priority consideration by the selecting official before other employees are considered under the regular selection process.

.435 Final Action. If an employee cannot be assigned by these procedures within a reasonable time (normally no more than 6 months), the Regional Director, E & LR, consults with the APMG, Employee Relations Department, about the next appropriate action. Such action may culminate in the implementation of procedures for involuntary personnel actions other than lateral reassignments.

.436 Qualification Requirements. An employee must meet the prescribed minimum qualification requirements for the position to which assigned under these procedures. The Regional Director, E & LR, may waive the minimum requirements in individual cases where there is evidence that the employee can be expected to satisfactorily perform the duties of the position within 90 days after assignment. A written record is maintained which states the specific reasons for granting any such waiver.

.44 Subsequent Personnel Actions. Employees assigned under these procedures do not acquire a right to return to their former positions or organizations. At its option, management may elect to return an employee when a vacancy subsequently occurs in the same kind of position or in the same organization in which the employee served before assignment. Employees who voluntarily accept a lower-grade position under these procedures may subsequently be assigned to positions that do not exceed the grade from which they were downgraded. The regular competitive procedures, including use of a review committee, may be waived in effecting these actions. However, employees must meet the prescribed minimum qualification requirements for the positions to which they are assigned.

355 Postal Manager's Merit Selection Program (Managers and Postmasters)

To be issued later.

.223 Procedures. Postal managers at every level of management must make Part 355 readily available to all employees so that they know what the eligibility and qualification requirements are for each vacancy on the list, and how to make known their interest in being considered.

.23 Employee's Request for Consideration

.231 Submission of Request. Any employee who wishes to exercise the right of self-nomination to be an *eligible candidate,* and any other employee who wishes to be considered eligible as a possible *nominated candidate,* make known their interest by the timely submission of a properly completed Form 991, *Personal History Summary* and Form 2181, *Authorization and Release,* as follows:

a. For SCM Vacancy. Send Form 991 and Form 2181 to the district manager in whose district the vacant position is located. Employees must indicate on Form 991 the specific vacancy they are interested in being considered for.

b. For Postmaster Vacancy. Send Form 991 and Form 2181 to the SCM in whose management sectional center the vacant position is located. Employees must indicate on Form 991 the specific vacancy they are interested in being considered for.

c. For More Than One Vacancy. A separate Form 991 must be submitted for each specific vacancy that an employee is interested in being considered for.

.232 Evaluation of Employees Requesting Consideration. The Regional Postmaster General is responsible for determining the best qualified employees to be *nominated candidates* for consideration by a Management Selection Board.

.233 Notification of Employees Requesting Consideration. Employees who submit Forms 991, as required, and are neither selected for nomination nor placed on a register of eligibles, are so advised by the district manager or SCM to whom the Form 991 was submitted. The district manager or SCM, as appropriate, endorses the Form 991 with one or more of the following as applicable:

a. Not Eligible for Consideration. Employee does not satisfactorily meet the eligibility requirements set forth in 355.253, 355.261c, 355.261d, 355.262c, 355.262d, 355.263c, 355.263d, 355.321a, 355.322a, or 355.431 as applicable.

b. Not Qualified. Employee does not satisfactorily meet the basic requirements and qualification standards set forth in 355.321b, 355.322b, or 355.45 as applicable.

c. Evaluated Qualified But Not Nominated. To be used when the number of qualified employees from outside the vacancy MSC or post office requesting consideration exceeds the number that can be placed on either the register of best qualified or register of eligibles as provided for in 355.261b(7), 355.261c, 355.261d, 355.262b(7), 355.262c, 355.262d, 355.263b(7), 355.263c, 355.263d, and 355.432g.

d. Other Reasons. For situations which are not adequately described by any of the above endorsements, the district manager or SCM uses such endorsement(s) as necessary to properly reflect the reason(s) for the employee not being nominated or placed on a register of eligibles.

.234 Maintenance of Applicant File. Each district manager and SCM maintains for at least 2 years a list, by specific vacancies, of the employees submitting Forms 991 who were not subsequently nominated or placed on a register of eligibles and the reason. District managers and SCMs may, if they prefer, simply retain for at least 2 years a copy of the Form 991 endorsed in accordance with the provisions of Section 355.233, in lieu of maintaining a list of such actions. The original endorsed Form 991 and Form 2181 is returned to the applicant.

.235 Audit of Applicant File (Forms 991) or Applicant List. The file described in 355.234 is audited by the Director, Office of Postmaster Selection, the Regional postmaster selection officers, or others, as assigned. Reports of the audits are furnished to the Regional Director, E & LR, and to the SAPMG, E & LR.

.24 Types of Candidates

.241 Nominated. Those employees who are nominated by either the Postmaster General or a Regional Postmaster General are designated as *nominated candidates.*

.242 Eligible. Those qualified employees at the vacancy MSC or post office who meet the eligibility requirements and any qualified eligible employee who exercises the right of self-nomination for a postmaster vacancy ranked at NCD grades 1 through 12, are designated as *eligible candidates.*

.243 Application. Those eligible qualified individuals from outside the Postal Service who submit applications in accordance with 355.443 are designated as *application candidates.*

.25 Nomination of Candidates

.251 By the Postmaster General. The Postmaster General may nominate candidates from any work location within the Postal Service without regard to the numerical limitations.

.252 By the Regional Postmaster General. The Regional Postmaster General may nominate candidates consistent with the limitations set forth in 355.261, 355.262, and 355.263.

.253 By Eligible Employees. Those employees at the vacancy MSC or post office who satisfy the following eligibility requirements and who exercise the right of self-nomination by the timely submission of Forms 991 and 2181, are afforded an opportunity to be interviewed by the appropriate board:

a. On the Rolls of the Vacancy Installation. Must be a permanent career employee on the rolls of the vacancy MSC or post office.

b. Grade or Management Position Requirement. Must be permanently assigned to a position which is no more than 6 grades below that of the vacancy. If there are no supervisors in the office permanently assigned to a position which is within 6 grades of the vacancy, supervisors more than 6 grades below the vacancy may self-nominate. These requirements are not applicable to any permanent career employee at the vacancy post office, if the only permanent authorized full-time management position is that of the postmaster.

c. *Basic Requirements and Qualification Standards.* Must satisfactorily meet the basic requirements and qualification standards as defined in 355.321 or 355.322 as appropriate.

.26 Selection of Candidates for Board Interview

.261 *For Vacancies in EAS Grade 26 and Above and in All SCM Positions Regardless of Grade:*

a. *From Within the Vacancy MSC or Post Office.* Any employee who exercises the right of self-nomination and is otherwise eligible in accordance with 355.253, is afforded an opportunity to be interviewed by the Board. Employees electing not to exercise this right of self-nomination are requested to so indicate in writing.

b. *Pre-Nomination Review of Forms 991 From Employees Outside the Vacancy MSC or Post Office*

(*1*) The RPMG appoints a prenomination review board composed of:

(*a*) A regional director or regional general manager;

(*b*) A district manager, who is not from the same district as the SCM member of the board nor from the same district where the SCM or postmaster vacancy is located; and

(*c*) An SCM, who is not from the same district as the district manager member of the board nor from the same district where the SCM or postmaster vacancy is located.

(*2*) Wherever possible, members of the pre-nomination review board should be at a grade or organizational level equal to or higher than that of the vacant SCM or postmaster position being considered and at least one member should be either a woman or a minority.

(*3*) Unless no one else is available to serve on the board, none of the members should be the immediate supervisor of any of the employees whose Forms 991 are reviewed and evaluated.

(*4*) The board is not permitted to personally interview any of the employees whose Forms 991 are reviewed and evaluated nor to list the names of the employees on the register in any order of rank or preference.

(*5*) The initial register of best qualified employees submitted to the RPMG must be limited to employees whose work locations are within the same region as the SCM or postmaster vacancy under consideration.

(*6*) The board reviews and evaluates the Forms 991 submitted by employees who wish to be considered as possible *nominated candidates* using as a guideline the basic requirements and qualification standards in 355.321.

(*7*) The board furnishes the RPMG in writing (with all members of the board signing the register) a register of not less than five and not more than seven of the best qualified employees. The names on the register are listed in alphabetical order by the last name of the employees.

c. *Nominations From Outside the Vacancy MSC or Post Office.* The RPMG nominates from the initial register submitted by the board not less than two of the employees named and such additional employees from the register as necessary to insure the number of *eligible* and *nominated candidates* interviewed by the National Management Selection Board is not less than five. In the event the RPMG is unable to satisfy the requirement of presenting not less than five *eligible* and *nominated candidates* to the National Management Selection Board, the board is requested to submit an additional register of not less than five nor more than seven employees from among the employees whose work locations are within the same region as the SCM or postmaster vacancy under consideration. If necessary, the board may direct that the vacancy be again publicized and posted for not longer than 30 days in accordance with 355.22.

d. *Expansion of the Area of Consideration.* If the operation of 355.261a and 366.261c fails to provide at least five *eligible* and *nominated candidates*, or none of the *eligible* or *nominated candidates* provided is recommended by the National Management Selection Board for appointment, or the PMG declines to appoint a candidate recommended by the National Management Selection Board, the RPMG activates the provisions of 355.261b and directs the board to review and evaluate the Forms 991 submitted by employees from any work location within the Postal Service and furnish in writing (with all members of the board signing the register) a register of not less than five and not more than seven of the best qualified employees. The RPMG nominates from the register submitted by the Board not less than three of the employees named to be interviewed by the National Management Selection Board.

.262 *For Vacancies in EAS Grades 18 Through 24:*

a. *From Within the Vacancy Post Office.* Any employee who exercises the right of self-nomination and is otherwise eligible in accordance with 355.253 is afforded an opportunity to be interviewed by the Board. Employees electing not to exercise this right of self-nomination are requested to so indicate in writing.

b. *Pre-Nomination Review of Forms 991 From Employees Outside the Vacancy Post Office*

(*1*) The RPMG appoints a prenomination review board composed of:

(*a*) A district director or sectional center director who is not from the same district or MSC as the SCM or postmaster member of the board nor from the same district where the postmaster vacancy is located;

(*b*) An SCM, who is not from the same district as the district director, sectional center director or postmaster member of the board nor from the same district where the postmaster vacancy is located; and

(*c*) A postmaster, who is not from the same district as the district director, sectional center director, or SCM member of the board nor from the same district where the postmaster vacancy is located.

(*2*) Wherever possible, members of the pre-nomination review board should be at a grade or organizational level equal to or higher than that of the vacant postmaster position being considered and at least one member should be either a woman or a minority.

(*3*) Unless no one else is available to serve on the board, none of the members should be the immediate supervisor of any of the employees whose Forms 991 are reviewed and evaluated.

(*4*) The board is not permitted to personally interview any of the employees whose Forms 991 are reviewed and evaluated nor to list the names of employees on the register in any order of rank or preference.

(*5*) The initial register of best qualified employees submitted to the RPMG must be limited to employees whose work locations are within the same region as the postmaster vacancy under consideration.

(*6*) The board reviews and evaluates the Forms 991 submitted by employees who wish to be considered as possible *nominated candidates* using as a guideline the basic requirements and qualification standards set forth in 355.321.

(*7*) The board furnishes the RPMG in writing (with all members of the board signing the register) a register of not less than five and not more than seven of the best qualified employees. The names on the register are listed in alphabetical order by the last name of the employees.

c. Nominations From Outside the Vacancy Post Office. The RPMG nominates from the initial register submitted by the board not less than two of the employees named and such additional employees from the register as necessary to insure the number of *eligible* and *nominated* candidates interviewed by the Regional Management Selection Board is not less than five. If the RPMG is unable to satisfy the requirement of presenting not less than five *eligible* and *nominated candidates* to the Regional Management Selection Board, the board is requested to submit an additional register of not less than five nor more than seven employees from among the employees whose work locations are within the same region as the postmaster vacancy under consideration. If necessary, the board may direct that the vacancy again be publicized and posted for not longer than 30 days in accordance with 355.22.

d. Expansion of the Area of Consideration. If the operation of 355.262a and 355.262c fails to provide at least five *eligible* and *nominated candidates,* or none of the *eligible* and *nominated candidates* provided is recommended by the Regional Management Selection Board for appointment, or the PMG declines to appoint a candidate recommended by the Regional Management Selection Board, the RPMG activates the provisions of 355.262b and directs the board to review and evaluate the Forms 991 submitted by employees from any work location within the Postal Service and furnish in writing (with all members of the board signing the register) a register of not less than five and not more than seven of the best qualified employees. The RPMG nominates from the register submitted by the board not less than three of the employees named to be interviewed by the Regional Management Selection Board.

.263 For Vacancies in NCD Grades 15 and 17:

a. From Within the Vacancy Post Office. Any employee who exercises the right of self-nomination and is otherwise eligible in accordance with 355.253 is afforded an opportunity to be interviewed by the Board. Employees electing not to exercise this right of self-nomination, are requested to so indicate in writing.

b. Pre-Nomination Review of Forms 991 from Employees Outside the Vacancy Post Office

(*1*) The RPMG appoints a prenomination review board composed of:

(*a*) A district director or sectional center director, who is not from the same district or MSC as the SCM or postmaster member of the board nor from the same district where the postmaster vacancy is located;

(*b*) An SCM, who is not from the same district as the district director, sectional center director or postmaster member of the board nor from the same district where the postmaster vacancy is located; and

(*c*) A postmaster, who is not from the same district as the district director, sectional center director, or SCM member of the board nor from the same district where the postmaster vacancy is located.

(*2*) Wherever possible, members of the pre-nomination review board should be at a grade or organizational level equal to or higher than that of the vacant postmaster position being considered, and at least one member should be either a woman or a minority.

(*3*) Unless no one else is available to serve on the board, none of the members should be the immediate supervisor of any of the employees whose Forms 991 are reviewed and evaluated.

(*4*) The board is not permitted to personally interview any of the employees whose Forms 991 are reviewed and evaluated nor to list the names of the employees on the register in any order of rank or preference.

(*5*) The initial register of best qualified employees submitted to the RPMG must be limited to employees whose work locations are within the same district as the postmaster vacancy under consideration.

(*6*) The board reviews and evaluates the Forms 991 submitted by employees who wish to be considered as possible *nominated candidates* using as a guideline the basic requirements and qualification standards in 355.322.

(*7*) The board furnishes the RPMG in writing (with all members of the board signing the register) a register of not less than three and not more than five of the best qualified employees. The names on the register are listed in alphabetical order by the last name of the employees.

c. Nominations From Outside the Vacancy Post Office. The RPMG nominates from the initial register submitted by the board not less than two and not more than three of the employees named to insure the number of *eligible* and *nominated candidates* interviewed by the Regional Management Selection Board is not less than three. If the RPMG is unable to satisfy the requirements of presenting not less than three *eligible* and *nominated candidates* to the Regional Management Selection Board, the board is requested to submit an additional register of not less than three nor more than five employees from among the employees whose work locations are within the same district as the postmaster vacancy under consideration. If necessary, the board may direct that the vacancy be again publicized and posted for not longer than 30 days in accordance with 355.22.

d. Expansion of the Area of Consideration. If the operation of 355.263a and 355.263c fails to provide at least three *eligible* and *nominated candidates*, or none of the *eligible* and *nominated candidates* provided is recommended by the Regional Management Selection Board, or the PMG declines to appoint a candidate recommended by the Regional Management Selection Board, the RPMG activates the provisions of 355.263b and directs the board to review and evaluate the Forms 991 submitted by the employees from any work location within the same region as the vacancy post office and furnish in writing (with all members of the board signing the register) a register of not less than three and not more than five of the best qualified employees. The RPMG nominates from the register submitted by the board not less than three of the employees named to be interviewed by the Regional Management Selection Board.

.27 Authority to Appoint

The Postmaster General appoints all postmasters.

.28 Date of Installation and Report of Change of Accountability

.281 Date of Installation for Sectional Center Managers. The appropriate district manager determines the actual dates of installation of newly appointed SCMs, but in every instance such installations must be completed within 30 calendar days of the effective dates of the appointments as determined by the Postmaster General.

.282 Date of Installation for Postmasters. The appropriate SCM determines the actual dates of installation of newly appointed postmasters but in every instance such installations must be completed within 30 calendar days of the effective dates of the appointments as determined by the Postmaster General.

.283 Report of Change of Accountability. In order that the National and Regional Directories of Postmasters can be maintained on a current basis, the postal official responsible for the installation of an officer-in-charge or a newly appointed SCM or postmaster sends copies of the completed Form 2030, *Report of Installation—Postmaster/Officer-in-Charge,* to the Director, Office of Postmaster Selection, E & LR Group, U.S. Postal Service, Washington, DC 20260 and the appropriate Regional Postmaster Selection Office listed below:

Northeast Region—Main Post Office Building, New York, NY 10098

Eastern Region—P.O. Box 8601, Philadelphia, PA 19101

Southern Region—Memphis, TN 38166

Central Region—Main Post Office Building, Chicago, IL 60699

Western Region—San Bruno, CA 94099

.29 Waiver of Nomination and Selection Procedures

The Postmaster General may waive all or part of the nomination and selection procedures as provided in these instructions when it is determined to be in the best interests of the Postal Service, for example, to fill a postmaster vacancy by the reassignment of a postmaster or supervisor whose post office of employment is discontinued, consolidated, ranked at a lower level, or involved in organizational realignment (see 354.3).

355.3 Procedures Governing Management Selection Board Consideration and Recommendation

.31 Management Selection Boards

.311 Responsibility. Management Selection Boards recommend to the Postmaster General the best qualified candidates for appointment to all SCM and NCD grade 15 and above postmaster vacancies.

.312 National Management Selection Board. The following serve as members on the National Management Selection Board to consider candidates for all SCM vacancies and any postmaster vacancy ranked at EAS Grade 26 and above. Substitution is not permitted except that the Postmaster General may determine that it is in the best interest of the Postal Service to substitute other USPS representatives in place of the members designated in 355.312a, b and c to serve on the Board for consideration of a specific SCM or postmaster vacancy:

a. The SAPMG, E & LR Group.

b. The SAPMG, Operations Group.

c. A Regional Postmaster General, selected by the Postmaster General, who is not from the same region where the SCM or postmaster vacancy is located or where any of the candidates are employed.

d. The Executive Director of the U.S. Civil Service Commission or designee.

.313 Regional Management Selection Boards. The following serve as members of the Regional Management Selection Boards to consider candidates for all postmaster vacancies ranked at NCD grades 12 through 17 and EAS 18 through 24. Substitution is not permitted except that the Postmaster General may determine that it is in the best interest of the Postal Service to substitute other USPS representatives in place of the members designated in 355.313a, b, and c to serve on a board for consideration of a specific postmaster vacancy:

a. A district manager or a regional director selected by the Postmaster General, who is not from the same region where the postmaster vacancy is located or where any of the candidates are employed.

b. A sectional center manager (SCM) or a general manager of a BMC selected by the Postmaster General, who is not from the same district as the district manager or associate postmaster member of the Board, nor from the district where the postmaster vacancy is located or where any of the candidates are employed. This member must be in the same or higher grade than that assigned to the vacancy under consideration.

c. An associate postmaster selected by the Postmaster General, who is not from the same district as the district or SCM member of the Board, nor from the district where the postmaster vacancy is located or where any of the candidates are employed. This member must be in the same or higher grade than that assigned to the vacancy under consideration.

d. A representative of the U.S. Civil Service Commission.

.314 Rules of Procedure for Boards

a. *Review of Informational File.* Each board member must thoroughly review the informational file provided by the appropriate Regional Postmaster General in accordance with 355.342 prior to the interview of the candidates.

b. Quorum. At least 3 of the designated board members must be present at any meeting of a board in order to have a quorum.

c. Interviews. Each candidate is interviewed for such a period of time as a board deems necessary in order to make a recommendation.

d. Recommendation. The recommendation by a board to the Postmaster General of a candidate for appointment must have been approved by no less than 3 board members of those participating in the interviews.

e. Expansion of Area of Consideration. If the PMG declines to appoint a candidate recommended by a management selection board or a management selection board declines to recommend any of the candidates interviewed for appointment by the PMG, the RPMG expands the area of consideration as provided for in 355.261d, 355.262d, and 355.263d in order to nominate additional candidates for consideration.

.32 Basic Requirements and Qualification Standards

.321 *For Vacancies in PES Grades:*

a. Grade Requirements. Any employee outside of the vacancy MSC or post office requesting consideration as a possible *nominated candidate* must be permanently assigned to a position which is not more than six grades below that of the SCM or postmaster vacancy for which consideration is requested.

b. Basic Requirements. All employees, whether they are seeking to be either an *eligible* or *nominated candidate,* must show through their total experience and background that they have the ability to manage the MSC or post office at which the vacancy exists by demonstrating they have the ability to:

(1) Foster an attitude of responsive service to customers by the staff.

(2) Devise efficient and effective operational plans and procedures.

(3) Maintain operating costs and expenditures in proper relationship to the authorized budget.

(4) Devise improvements in work methods and procedures.

(5) Adjust work activities and schedules to meet emergency conditions or unanticipated requirements.

(6) Communicate skillfully both orally and in writing.

(7) Define assignments or projects clearly.

(8) Delegate authority and responsibility, and work with and through others effectively.

(9) Motivate, develop, and supervise employees of varied backgrounds and skill levels.

(10) Negotiate effectively with employee groups.

(11) Deal fairly and objectively with subordinates.

c. Experience.

(1) Employees must have been engaged in occupations which, by their nature, extent, and importance have demonstrated their ability to conduct and manage the entire postal business for the community.

(2) Employees must clearly demonstrate by their experience that they have the required ability to organize, plan, and schedule the work of a business-type organization in order to operate efficiently within a fixed budget, to assure prompt and accurate service, and to develop plans for making the organization capable of responding effectively to seasonal and other variations in the workload. Pertinent volunteer or unpaid experience is evaluated and considered on the same basis and in the same manner as paid experience.

(3) Although routine experience by itself in such positions as clerk or carrier is not acceptable as *total* qualifying experience for positions at EAS 18-23, it is recognized that many postal management employees have had other experience or education which enables them to meet the managerial responsibilities, principles, and techniques.

(4) For EAS 24 and above, all the experience must have been at an organizational level that provided the employee with a broad perspective of managerial responsibilities, principles, and techniques.

(5) All employees must have experience that clearly demonstrates ability to direct and manage the MSC or post office in which the vacancy is located. The level of ability required increases as the operation increases in size and complexity.

(6) 4 years of experience of the type described above is required for EAS 18-19, *including* 1 year of management experience; 5 years for EAS 20-21, *including* 2 years of management experience; and 6 years for EAS 22-23, *including* 3 years of management experience. Six years of management experience is required for EAS 24 and above.

d. Education. Successfully completed study in a resident college or university may be substituted for not more than one half of the required experience. Such education may be substituted at the rate of 1 academic year of study for each 9 months of experience.

.322 *For Vacancies in NCD Grades 15 and 17: Through*

a. Service Requirements. Any employee requesting consideration as an *eligible* and possible *nominated candidate* must have served one year under a continuous appointment in the U.S. Postal Service immediately prior to the date interviewed by the Regional Management Selection Board.

b. Basic Requirements. All employees, whether they are seeking to be either an *eligible* or *nominated candidate,* must show through their total experience and background that they have the ability or potential ability to manage the post office at which the vacancy exists by demonstrating that they can:

(1) Carry out operational plans and procedures economically and efficiently.

(2) Operate the post office with an attitude of responsive service to customers.

(3) Be fair and objective in dealings with others.

(4) Adjust work activities and schedules to meet emergency conditions or unanticipated requirements.

(5) Communicate skillfully, orally and in writing.

c. Experience.

(*1*) Employees must show that they have had 3 years or more of experience in which they demonstrated the abilities required to manage a post office. To be acceptable, the experience must show that the employee has the ability to meet and deal with customers or employees effectively. It must also show that the employee either has the ability to maintain simple records of account or other records of comparable difficulty, or has knowledge of postal procedures. Pertinent volunteer or unpaid experience is evaluated and considered on the same basis and in the same manner as paid experience.

(*2*) Experience as a postal clerk or carrier is accepted as *total* qualifying experience for postmaster positions in NCD Grades 15 and 17.

d. Education. Successfully completed study in a resident college or university may be substituted for not more than one half of the required experience at the rate of 1 academic year of study for each 9 months of experience.

.33 Review and Evaluation of Employees Prior to Nomination

When determining which employees will be nominated for consideration according to 355.251, 355.252, 355.261c, 355.261d, 355.262c, 355.262d, 355.263c, and 355.263d, the appropriate nominating authority makes or causes to be made a careful review, analysis, and evaluation of the following items to insure that the best qualified employees are nominated:

a. Position Criteria

(*1*) Basic requirements and qualification standards set forth in 355.321 or 355.322, as appropriate for the vacancy under consideration.

(*2*) Form 6800, *Standard Position Description,* for the vacancy under consideration.

b. Employee's History

(*1*) Previous work history outside the USPS.
(*2*) Postal Service work history.
(*3*) Records of awards, commendations, and citations.
(*4*) Records of disciplinary actions.
(*5*) Records of military service.
(*6*) Postal Service appraisal records of performance including but not limited to the most recent Form 2451, *Merit Performance Evaluation,* and Form 2577, *Estimate of Potential.*

c. Evaluation of Employee's Background Against the Basic Requirements and Qualification Standards for Vacancies in EAS Grades 18 and Above.

(*1*) The entire experience, education, and background of each employee who meets the requirements must be evaluated in terms of the employee's relative ability to manage an operation efficiently. This evaluation includes all of the basic requirements listed in 355.321. The factors, as applicable, in 355.35 are evaluated and given specific consideration in the overall evaluation of the basic requirements. (The order in which they are listed does not place any priority of importance on them.)

(*2*) There are instances in which an individual's career has varied from the normal or usual in sufficient degree that their background does not provide the typical kinds of specific evidence of possession of each of the required abilities and factors.

(*3*) In such cases, closely related education, training, or experience of appropriate level and quality may be accepted for one or two of the factors in lieu of the kind of background that is directly and specifically applicable. It must be clear, however, from the employee's overall background that the employee has the necessary level of all of the required skills, knowledge, competence, and abilities needed to perform the duties of the position. The closely related education, training, and experience that is accepted as evidence in such cases must be clearly documented in terms of level, kind, and scope to demonstrate that the employee has an unquestionable potential to perform satisfactorily in the position to be filled.

d. Evaluation of Employee's Background Against the Basic Requirements and Qualification Standards for Vacancies in NCD Grades 15 and 17. The entire experience, education, and background of each employee who meets the requirements must be evaluated in terms of the employee's relative ability to manage the post office efficiently. This evaluation includes all of the requirements listed in 355.322. Credit is also to be given when evidence is provided that the employee possesses abilities or potential in any or all of the following areas of managerial responsibility:

(*1*) Decision making.
(*2*) Budget preparation and administration.
(*3*) Supervision.
(*4*) Equal employment opportunity.
(*5*) Planning and scheduling work.
(*6*) Safety.
(*7*) Customer and community relations.

.34 Referral of Candidates to the Board

.341 By the Regional Postmaster General. It is the responsibility of the Regional Postmaster General to insure that when referring candidates to a board for consideration, the following are accomplished:

a. Filling Vacancies on a Timely Basis. To the extent possible, all vacancies in SCM and postmaster positions must be filled within 120 days of the date the position became vacant. In those instances where the effective date of a vacancy is known in advance by reason of mandatory retirement or written notification of retirement or resignation from the incumbent, every effort must be made to complete the nomination, selection, and appointment process so as to preclude the necessity of installing an officer-in-charge.

b. Determination to Fill or Not to Fill a Vacancy. Regional Postmasters General authorize the filling of all vacancies within their respective regions. See 355.21. In those instances where it is determined that a vacant position may not be filled pending a final decision on a proposal to discontinue or consolidate a post office, the name of the vacant post office is not included in the list of vacancies published in accordance with 355.221 until a final decision is made to retain the post office.

c. Finalizing List of Candidates. No sooner than 30 days after the notice of a vacancy is published, as required by 355.221, the Regional Postmaster General finalizes the list of *eligible* and *nominated candidates* that is to be referred to a board for consideration.

d. Qualification and Suitability Investigation. The Regional Postmaster General requests the Regional Chief

Postal Inspector to conduct a qualification and suitability investigation of each candidate whose name appears on the finalized list prepared in accordance with 355.341c. The Inspection Service sends the qualification and suitability report to the district manager in whose district the vacancy is located, except in those cases where the candidate's work location is in the district office, the report is sent to the Postmaster Selection Officer in the regional office.

e. Analysis of Candidate's Experience, Background, and Potential. The Regional Postmaster General has an analysis prepared on the experience, background, and potential of each candidate whose name appears on the finalized list prepared in accordance with 355.341c. The guidelines set forth in 355.35 are followed in making this analysis.

.342 Preparation of Informational File

a. For the Vacant Position. Include in the informational file for each vacancy referred to a board the following:

(*1*) Form 1832, *Employee and Organization Data.*

(*2*) Form 6800, *Standard Position Description.*

(*3*) An organization chart of the vacancy installation showing the names of the current position incumbents.

(*4*) A copy of the current operating budget. If the vacant position is that of a SCM, include a copy of the current operating budget for the MSC.

(*5*) Written declinations for non-available eligible employees.

(*6*) Community information fact sheet describing the population, ethnic mixture, industry, and schools.

b. For Each Candidate. Include in the information file for each candidate referred to a board the following:

(*1*) Form 991, *Personal History Summary.*

(*2*) Form 2451, *Merit Performance Evaluation,* for the last time the candidate was evaluated for a merit increase.

(*3*) Form 2497, *Qualification Analysis Worksheet.*

(*4*) Form 2577, *Estimate of Potential.*

(*5*) Inspection Service qualification and suitability investigation report. See 355.341d.

(*6*) Analysis of candidate's experience, background, and potential. See 355.341e.

(*7*) Form 2459, *Letter of Acceptance* (see 355.14).

.35 Analysis of Candidate's Experience, Background, and Potential

.351 The candidate's immediate supervisor submits an analysis of the candidate's experience, background, and potential to the next higher level of management for review, and for appropriate comment when deemed necessary. Any comments by the next higher levels of management and the analysis are included in the informational file referred to the Board.

.352 The SCM or postmaster position for which candidates are considered is essentially and primarily a management position. As such, it requires an incumbent who has demonstrated possession of the basic requirements to manage an efficient operation: the analysis should address the specific experience, training, knowledge, or background that candidates have which realistically supports their capability to perform the SCM or postmaster position for which they are being considered.

.353 Supervisors should cite factual information which supports possession, or lack, of the basic requirements, rather than evaluating (or rating) performance or potential. Use examples of how the candidate demonstrates the requirement in actual work situations, rather than your opinion of the degree to which the candidate possesses it.

.354 The information submitted in the analysis is used by a board, in conjunction with and as an extension of, information forwarded from other sources, to determine a candidate's relative qualifications for the SCM or postmaster vacancy.

.355 Some of the following basic requirements may not be required on lower graded postmaster positions. Consult the appropriate position description to ascertain this. In cases where basic requirement is not applicable, write in *not applicable.*

.356 The information and questions listed below are intended to guide the thinking and considerations of postal management in evaluating the candidate involved. This is not an interview, and the candidate should not be questioned directly by management in these considerations. Simply state, in your own words, the facts and information which you believe best describe the candidate's experience, training, knowledge, or background in each of the basic qualifications applicable to the specific SCM or postmaster position for which the candidate is being evaluated:

a. Labor Relations. Management rights include, but are not limited to hiring, directing, and disciplining employees, and managing the operations. These are the exclusive function of management and cannot be assumed by employees or other persons whether by practice, default, or other methods. Employees and their representatives have certain benefits and rights and these rights have to be respected if an operation is to be well managed. Consider:

(*1*) What is the candidate's understanding of management's rights?

(*2*) What is the candidate's position regarding the rights of employees and of their labor representatives?

(*3*) What actual relationships has the candidate had with organized labor?

b. Equal Employment Opportunity. The work force in industry, education, government, and is integrated. Discrimination in hiring, job assignments, promotions, etc., is not conducive to a well managed operation, and that these and other considerations must be based on ability, length of service, etc. Racial and ethnic groups are sensitive to certain phrases, or salutations and methods of supervision, and smoother management results when these are avoided.

(*1*) What is the candidate's description of an *integrated workforce?*

(*2*) What does the candidate consider are the qualifications an employee must possess for employment, promotions, job assignments, etc?

(*3*) What specific jobs has the candidate held which required demonstration of sensitivity to the needs, beliefs, and understandings of minority groups?

c. Decision Making (Problem Solving). Decisions are made within the framework of policy, with consideration of:

(*1*) What problems has the candidate accepted the responsibility for solving as a basis for making a decision and for taking appropriate action?

(*2*) What decisions has the candidate made that fall outside of established policy, regulations, or precedent?

(*3*) Does the candidate obtain all of the facts in a situation and analyze them carefully? (Give examples.)

d. Budget Operations. Consideration is given to:

(*1*) What type of budgeting experience has the candidate had (business, farm, home, club or church, etc.)? Cite specifics.

(*2*) Has the candidate ever prepared an annual budget? If so, for what, how much, etc.?

(*3*) Whether the candidate has had training or education in finance, budgeting, or accounting?

(*4*) Whether the candidate has ever administered a budget? If so, what kind, how much, for how long, etc.? Who prepared the budget?

(*5*) Whether the candidate has ever initiated or administered a cost reduction or savings program. (Be specific.)

e. Employee Development. Ideally, the candidate under consideration has developed supervisors within the post office who are recognized as assets; or the candidate has developed people outside of the post office who are recognized in industry as management assets:

(*1*) Cite specific examples of people who have been trained and developed by the candidate. (Use titles, positions attained, methods employed, frequency, etc.)

(*2*) Does the candidate delegate work commensurate with responsibility and authority?

(*3*) Is the advice and counsel of the candidate sought by others? Whom?

(*4*) How does the candidate summarize beliefs on employee development?

f. Supervision (including that of stations and branches where applicable.) Successful supervision requires both reward and discipline when each is deserved. The supervisor who personally tells an employee about a promotion or a raise in salary, but does not tell him or her about poor work performance, absenteeism, or educational deficiencies which can be improved, is not a good manager. Successful supervision also requires the ability to delegate responsibility to others in the organization, which prevents inefficiency due to work overload and allows the opportunity for development of a subordinate. MSCs have many associate post offices under one SCM. The post offices in large cities have many branches under one postmaster. Similar type experience can include management of a number of chain stores, markets, etc., or the regional office responsibility for a number of plants or branches that is commonly found in industry. Experience in control is desirable for efficient operation:

(*1*) What kinds of supervisory experience has the candidate had? (Give titles, numbers of subordinates, kinds of subordinates, when, etc.)

(*2*) Is the candidate considered a firm or a lenient supervisor? Why?

(*3*) What situations calling for face-to-face discussions with employees has the candidate had? (Explain.)

(*4*) What kinds of relationships does the candidate maintain with supervisors at same level? Superiors? Subordinates?

(*5*) How frequently and to what extent does the candidate follow up on the work of subordinates?

(*6*) What kinds of experience has the candidate had which would require coordinating, directing, and controlling the performance of outlying units such as associate post offices, branches, sales offices, distribution centers, warehouses, regional offices, etc.? (Be specific as to exactly what kind, how many, their size, their functions, when, etc.)

g. Planning and Scheduling of Work. Post office work requires continuous operation 24 hours per day and 365 days per year in many locations. There are also peak periods, such as Christmas, when hundreds are added to operations. This makes the planning and scheduling of shifts important to efficient operations. It also points to the need for numbers of trained personnel to fill in for illness, vacations, weekends, etc. Keeping trained part-time flexibles is necessary, but having excess personnel is costly and inefficient. The cost of operations can be kept to a minimum by management experienced in training and scheduling continuous and fluctuating operations. Consider:

(*1*) What kinds of work planning or scheduling the candidate has handled. (Own work, subordinates' work, employees, money, machines, time, etc. Cite examples.)

(*2*) Whether the candidate has done short-range (job-by-job) planning or long-range (week or longer) planning?

(*3*) The candidate's experience in cyclical or seasonal or peak planning?

(*4*) Whether the candidate's plans incorporate a system for follow-through and controls?

h. Safety and Health. Great expense is involved where employee absenteeism is high and the accident frequency and severity rate is high for injuries to employees. Absenteeism must be kept to a minimum because extra added personnel must be available. In an organization the size of the Postal Service, this could mean thousands of employees. All of the extra people must be trained and must be included in the cost of pensions and other benefits. This cost is usually about 25% of an employee's salary. The same applies to employees who are injured on the job, with the added cost of Workmen's Compensation and misery to the employee. A well managed operation gives priority to absenteeism and safety. Consider:

(*1*) The candidate's understanding of the safety and health responsibilities of a postmaster.

(*2*) How the candidate relates safety and health to efficient operations.

(*3*) What relationship the candidate makes between absenteeism and employment costs.

i. Customer and Community Relations. The SCM or postmaster has daily occasion to do business with people from all walks of life in the entire community, and can improve service and reduce costs by convincing industry and business leaders that acceptance of service in nonpeak hours, delivery of mail to specific locations, etc., can result in better service and lower cost. It is also important that a favorable Postal Service image is presented to the community. Customer and community relations experience is helpful in this phase of a well managed operation. Consider:

(*1*) What positions the candidate holds in the community?

(*2*) Whether the candidate has been active in groups such as chambers of commerce, community improvement associations, homeowners' associations, etc. (Be specific.)

(*3*) Whether the candidate has participated in fund-raising campaigns and to what extent.

(*4*) The candidate's experience in selling ideas, positions, or recommendations to others, both within and outside of the post office.

.36 Officers-In-Charge

.361 Duration of Appointment. Unless specific approval is granted by the SAPMG, E & LR, no Officer-In-Charge (OIC) is permitted to serve at any vacant management sectional center or post office for more than 180 calendar days, unless the 180-day period expires in the month of December. In this case, the assignment is extended to the beginning of the first full pay period in January of the following year. The 180-day limitation ceases to apply once the candidates for the vacancy have been referred to a management selection board for review.

.362 Ineligible for Appointment. An employee serving or having served as an OIC during a current vacancy at an MSC, city delivery, or NCD 15 or 17 post office, is ineligible for appointment to the current SCM or postmaster vacancy. *In unusual circumstances, e.g., sparsely populated geographic areas, exceptions may be made only at NCD 15 or 17 post offices with prior approval of the SAPMG, E & LR.*

.363 Ineligible for OIC Assignments. In cases where the Board has expanded the area of consideration, candidates considered but not selected for the position may not be assigned to serve as OIC for the duration of the current vacancy.

.37 Recommendations by Management

.371 To help prevent allegations that favoritism is injected into the selection of SCMs and postmasters by virtue of the influence management recommendations may or may not have on the recommendations of boards, and to insure that the merit selection program continues to have the highest possible credibility both inside and outside the Postal Service, postal management at all levels is prohibited from making any specific recommendation, either in writing or orally, to any member or members of the national or regional board, as to who should be selected for appointment.

.372 Postal management must properly and thoroughly, in an objective and unbiased manner, evaluate each candidate on the management factors outlined in 355.35. If all candidates are so evaluated, such evaluations, along with those from the Inspection Service, will provide the board the necessary information for its deliberations.

.373 This prohibition of recommendations does not relieve postal management of its responsibility to nominate the best qualified candidates.

355.4 Procedures Governing Applications and Selection for Postmaster Vacancies in NCD Grades 1 Through 12

.41 Order of Consideration

At post offices where the vacant postmaster's positions are ranked at NCD grades 1 through 12, first consideration in filling such vacancies must be given to eligible qualified employees from within the Postal Service in accordance with 355.43. If such vacancies cannot be filled by the appointment of eligible, qualified employees from within the Postal Service, eligible, qualified individuals from outside of the Postal Service may be selected for appointment in accordance with 355.44. The RPMG has the authority to simultaneously seek candidates from within and outside the Postal Service for any vacancy ranked at NCD grades 1 through 7. The RPMG is not authorized to seek candidates from outside the Postal Service for any postmaster vacancy ranked at NCD grade 12 without the written approval of the SAPMG, E&LR Group.

.42 Types of Candidates

.421 Eligible Candidates. Those eligible qualified employees from within the Postal Service who exercise their right of self-nomination are designated as *eligible candidates.*

.422 Application Candidates. Those eligible qualified candidates from outside the Postal Service who submit applications in accordance with 355.443 are designated as *application candidates.*

.43 Selection from Within the Postal Service

.431 Area of Consideration. The area of consideration is determined by the NCD grade of the postmaster vacancy:

a. NCD Grades 1 through 7. Consideration is limited to all qualified employees whose work locations are within the same MSC area as the vacancy post office. The area of consideration may be expanded if the PMG determines that expansion is in the best interest of the Postal Service.

b. NCD Grade 12. Consideration is limited to all qualified employees whose work locations are within the same district as the vacancy post office. The area of consideration may be expanded if the PMG determines that expansion is in the best interest of the Postal Service.

.432 Review, Evaluation and Ranking of Eligible Candidates.

a. NCD Grades 1 through 7. The SCM in whose MSC area the vacancy post office is located reviews and evaluates the Forms 991 submitted by eligible candidates using as guidelines the basic requirements and qualification standards in 355.45. Upon completion of the review and evaluation, the SCM ranks each eligible candidate in descending order on a register of eligibles.

b. NCD Grade 12. The district manager in whose district the vacancy post office is located appoints a preselection review board which operates as follows:

(*1*) The board is composed of:

(*a*) Two postmasters ranked at NCD grade 12 or higher, who are not from the same MSC nor from the same MSC as the sectional center director member is from or where the vacancy post office is located;

(*b*) A sectional center director who is not from the same MSC as the two postmaster members nor where the vacancy post office is located.

(*2*) Wherever possible, at least one member should be either a woman or a minority. Unless no one else is available to serve on the board, none of the members should be the immediate supervisor of any of the employees whose Forms 991 are reviewed and evaluated.

(*3*) The board is not permitted to personally interview any of the employees whose Forms 991 are reviewed and evaluated nor to list the names of the *eligible candidates* on the register of eligibles in any order of rank or preference.

(*4*) Any register of *eligible candidates* submitted to the SCM must be limited to employees whose work locations are within the same district where the vacancy post office is located. This limitation is not applicable to any employee nominated by the PMG (see 355.251) or if the area of consideration is expanded by the PMG (see 355.431b).

(*5*) The board reviews and evaluates the Forms 991 submitted by employees using as a guideline the basic requirements and qualification standards in 355.45 a, b, c and e.

(*6*) The board furnishes the SCM in writing (with all members of the board signing the register) a register of eligibles listing the three best qualified *eligible candidates.* The names on the register are listed in alphabetical order by the last name of the *eligible candidates.*

.433 Recommendation of Sectional Center Manager.

a. For NCD grades 1 through 7. The SCM selects one of the first three *eligible candidates* named on the register of eligibles established in accordance with 355.432a and recommends the appointment of the *eligible candidate* selected to the RPMG through the district manager. The SCM includes with the recommendation a copy of the register of eligibles and the written evaluation of each *eligible candidate* named on the register of eligibles.

b. For NCD Grade 12. The SCM selects one of the three *eligible candidates* named on the register of eligibles submitted by the pre-selection review board in accordance with 355.432b (6) and recommends the appointment of the *eligible candidate* selected to the RPMG through the district manager. The SCM includes with the recommendation a copy of the register of eligibles submitted by the board and the Forms 991 for each of the *eligible candidates* named thereon, as well as the Forms 991 for all of the employees considered by the board.

.434 Action by Regional Postmaster General.

a. For NCD Grades 1 through 7. In those instances where the RPMG concurs in the selection and recommendation of the SCM, the name of the *eligible candidate* selected and recommended by the SCM is forwarded to the PMG for final approval and appointment. In the event the RPMG does not concur in the selection and recommendation of the SCM, the RPMG may select another *eligible candidate* from among the first three named on the register of eligibles for submission to the PMG for final approval and appointment. If the RPMG declines to recommend any of the first three *eligible candidates* named on the register for final approval and appointment by the PMG, or the PMG declines to give final approval and appointment to the *eligible candidate* recommended by either the SCM or RPMG, the RPMG directs the SCM to establish a new register of eligible candidates and/or solicit applications from eligible, qualified candidates outside of the Postal Service. If necessary, the SCM may direct that the vacancy be publicized again and posted for not longer than 30 days in accordance with 355.22.

b. For NCD Grade 12. In those instances where the RPMG concurs in the selection and recommendation of the SCM, the name of the *eligible candidate* selected and recommended by the SCM is forwarded to the PMG for final approval and appointment. If the RPMG does not concur in the selection and recommendation of the SCM, the RPMG may select another *eligible candidate* from among the three named on the register of eligibles for submission to the PMG for final approval and appointment. If the RPMG declines to recommend any of the three *eligible candidates* named on the register of eligibles for final approval and appointment by the PMG, or the PMG declines to give final pproval and appointment to the *eligible candidate* recommended by either the SCM or RPMG, the RPMG directs the district manager to activate the provisions of 355.432b or requests written approval of the SAPMG, E&LR, to permit the SCM to seek *application candidates* from outside the Postal Service as provided for in 355.41 and 355.44. If necessary, the board may direct that the vacancy be again publicized and posted for not longer than 30 days in accordance with 355.22.

.44 Selection from Outside the Postal Service

.441 Area of Consideration. Consideration is given to qualified individuals from outside the Postal Service who, on the date they submit their application, actually reside within the same MSC area as that in which the vacancy post office is located. The area of consideration may be expanded if the Postmaster General determines that such an expansion is in the best interest of the Postal Service.

.442 Solicitation of Applications. Immediately upon receipt of written authorization from the Regional Postmaster General to solicit applications from outside the Postal Service for a postmaster vacancy ranked at NCD grade 1 through 7, or immediately upon receipt of written notification from the RPMG that the SAPMG, E&LR, has authorized in writing the solicitation of applications from outside the Postal Service for a postmaster vacancy ranked at NCD grade 12, the SCM:

a. Posting Notice. Has Notice 1, *Postmaster-Vacancy,* posted in a conspicuous place in the lobby of the vacancy post office for a period of 10 calendar days. At the expiration of the required 10 calendar days posting period, the officer-in-charge of the vacancy post office returns the Notice 1 to the SCM appropriately endorsed to indicate the actual inclusive dates of posting. *Notice 1 must include a statement that applications from persons outside the Postal Service are restricted to those individuals who, on the date they submit their applications, actually reside within the same MSC area as that in which the vacancy post office is located.*

b. Publicizing Vacancy. Has the vacancy and the invitation to submit application publicized through notices to any organizations and publications in the community served by the vacancy post office.

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c. Providing Supply of Application Forms. Has the OIC at the vacancy post office provided with an adequate supply of Form 2591, *Application for Employment,* Form 2181 *Authorization and Release,* and self-addressed penalty envelopes for use by the public in the submission of applications. At the expiration of the required 10 calendar day posting period, the OIC of the vacancy post office returns any unused Forms 2591 and self-addressed penalty envelopes to the SCM.

.443 Submission of Applications. Individuals outside the Postal Service interested in being considered for appointment to a vacant postmaster position ranked at NCD grades 1 through 12 must complete Form 2591 and submit it together with the necessary proof of veterans' preference claimed to the appropriate SCM in the self-addressed penalty envelope provided for that purpose. The SCM allows a reasonable time, but not less than 3 days after receipt of the posted Notice No. 1 (see 355.442a) from the officer-in-charge, for the receipt of any applications filed on the last day of required posting period.

.444 Eligibility, Qualification and Suitability Investigation. As soon as possible after expiration of the time period allowed for the receipt of applications (see 355.443), the SCM forwards to the Regional Chief Postal Inspector all of the Forms 2591 received, the Notice 1 that was posted at the vacancy post office, and copies of any other notices publicizing the vacancy, together with a request that an eligibility, qualification, and suitability investigation be made of each individual applying and that a register of eligibles be established as a result thereof.

.445 Action by Regional Chief Postal Inspector. Upon completion of the investigation requested by the SCM, the Regional Chief Postal Inspector forwards to the SCM the following:

a. Report of Investigation. The report of the Inspection Service's investigative report of the eligibility, qualifications, and suitability of each individual applying.

b. Register of Eligibles. The register of eligibles established by the postal inspectors incident to the investigation of applicants.

c. Other Documents. The original documents furnished by the SCM in accordance with 355.444.

.446 Recommendation of SCM. The SCM recommends one of the first 3 *application candidates* named on the register of eligibles established in accordance with 355.444 to the Regional Postmaster General (through the district manager) for appointment to the vacancy under consideration. In selecting from the register of eligibles, the SCM must strictly observe the provisions of 355.463. The SCM includes with the recommendation a copy of the register of eligibles and the Inspection Service's investigative report of each *application candidate.*

.447 Action by Regional Postmaster General. In those instances where the Regional Postmaster General agrees with the recommendation of the SCM, the name of the *application candidate* recommended is forwarded to the Postmaster General for final approval and appointment. In the event the Regional Postmaster General does not agree with the recommendation of the SCM, the Regional Postmaster General may select, consistent with 355.463, another *application candidate* from among the first 3 named on the register of eligibles for submission to the Postmaster General. If none of the first 3 *application candidates* named on the register of eligibles is, in the judgment of the Regional Postmaster General, qualified for appointment, or the Postmaster General declines to appoint the *application candidate* recommended, the Regional Postmaster General requests the SCM to activate the provisions of 355.44 in order to establish a new register of eligibles.

.45 Basic Requirements and Qualification Standards—Evaluation and Ranking

All *eligible candidates* from within the Postal Service and all *application candidates* from outside the Postal Service are evaluated and ranked for the register of eligibles on the following basic requirements and qualification standards:

a. Experience and Education. The candidate's work experience and educational accomplishments.

b. Community Image. The candidate's image and reputation in the community of the vacancy post office and candidate's residence, if not the same.

c. Personal Attention. The candidate's ability to give personal attention to conducting and managing the vacancy post office.

d. Convenient Location. The candidate's ability to provide a convenient public location for the vacancy post office at the fair locally prevailing rental rate as determined by the Postal Service.

e. Transaction of Postal Business. The candidate's ability to provide the proper means for the transaction of postal business with the public.

.46 Veterans' Preference

.461 Responsibility of Applicants. Applicants from outside the Postal Service are responsible for providing the Postal Service with necessary documents to substantiate a claim for any of the following types of veterans' preference:

a. Compensable Preference. Entitles the applicant to be placed at the top of the register of eligibles if proof from the Veterans Administration of a service-connected disability for which compensation is being paid is submitted with Form 2591.

b. Non-Compensable 10-Point Preference. Entitles the applicant to be placed ahead of 5-point veterans of equal ranking on the register of eligibles, if proof of 10-point veterans' preference for non-compensable service-connected disability (e.g., award of a Purple Heart) and widows and widowers of veterans is submitted with Form 2591. The wife, husband, or mother of a disabled veteran is eligible for 10-point veterans' preference under certain conditions. The mother of a deceased veteran is eligible for 10-point veterans' preference if the veteran's death occurred while serving on active duty during a war.

c. Other Types of Preference. Entitles the applicant to be placed ahead of all non-veterans of equal ranking on the register of eligibles if proof of other types of veterans' preference is submitted at the time of employment.

.462 Endorsement on Register of Eligibles. The register of eligibles, established in accordance with 355.444, indicates the type of veterans' preference each applicant is entitled to by placing one of the following endorsements beside the name of the candidate:

a. CP. For compensable preference. See 355.461a.

b. XP. For non-compensable 10-point preference. See 355.461b.

c. TP. For other types of preference. See 355.461c.

.463 Selection From Register of Eligibles. The Veterans' Preference Act provides that a veteran cannot be passed over and a nonveteran ranking lower on the register of eligibles selected without proper justification. Such justification must be submitted prior to selection to the SAPMG, E & LR, for disposition.

360 Other Personnel Actions

361 General Considerations

All personnel actions within the Postal Service are effected, without discrimination because of race, color, religion, sex, age, national origin, political affiliation, marital status or physical impairment (provided that the duties of the position involved may be efficiently performed by the person with the physical impairment.) Equal opportunity for position changes and advancement are based on merit, applicable experience, skills, and physical requirements of the duties for the vacancy being filled. Postal officials concentrate on the effective and efficient utilization of employee skills and potentials available to the Postal Service.

362 Change to Lower Grade

362.1 Purpose and Authority

Changes are initiated on the application of the employee or at the request of the installation head. Postal officials not authorized to take final action provide recommendations to higher authority.

362.2 When Change to Lower Grade May Be Made

.21 At Request of Employee. Employees may be changed to a position of lower grade at their own request, without regard for adverse action procedures, when their written request establishes that the change is made solely for personal reasons and in their own interest. Employees' written requests are made a permanent part of their official personnel folders. The request must contain the following facts and circumstances:

a. That the employee and not the postal official initiated the request for the reduction;

b. That the postal official, or any supervisor, has not exercised any pressure;

c. That employees fully understand the transaction and consider the reduction to be in their own self interest and benefit.

d. Note: A separate written request is not necessary when a change to lower grade is made as a result of bidding procedures, e.g., T6 to Lv 5 City Carrier.

.22 Because of Performance. Where an employee's performance in his/her current position is unsatisfactory due to his/her own fault or inability to do the work, a change to another position in a lower grade may be made to place the employee in a position where (s)he can reasonably be expected to adequately perform. The change is preceded by a written notice prepared in compliance with the adverse action procedure.

.23 Relegation of a Post Office. A change to a lower grade resulting from relegation of a post office must be in accordance with the adverse action procedures. See 650 for non-bargaining unit employees. See the appropriate collective bargaining agreement for bargaining unit employees.

.24 Realignments. In organizational realignments, management may offer a lower graded position. Although the offer was management initiated, the change, if voluntarily accepted by the employee, may not be processed as an adverse action.

362.3 Restrictions On Change To Lower Grade

To fill a position by change to lower grade, the following requirements must be met:

a. The employee must meet the physical standards for the new position. See 313.3, for more complete information, including waivers for physically impaired employees.

b. If employees have not completed probation, they must complete the probation in their new position.

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b. If employees have not completed probation, they must complete the probation in their new position.

c. The employee must meet any experience and training standards for the position and any performance test set for entry into the position; e.g., the motor vehicle operator's examination unless waived under 354.236.

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363 Conversions

363.1 Definition of Conversion

Conversion refers to the process of reaching an employee on a register of eligibles who is serving under a casual, temporary, or excepted appointment and changing him to a career appointment.

363.2 Conversion To Career Appointment

If the conversion is based on proper selection of an employee whose name is currently within reach on a Postal Service eligibility list, the certificate from which selection is made constitutes authority for the conversion.

363.3 Restrictions On Conversion to Career Appointment

.31 Vacancies. There must be a permanent vacancy to which an employee may be assigned in order to be converted to a career appointment. Conversion cannot be affected if the employee is serving in a temporary vacancy incident to another employee's absence on military furlough or incident to a transfer to defense activity with reemployment rights.

.32 Members of Family Requirement. Restrictions regarding members of family which are applicable to appointments are equally applicable to conversion. (See Handbook P-11, *Personnel Operations,* Section 312.3, *Restrictions on Employment of Relatives.*)

.33 Positions Reserved for Veterans. An employee who is not entitled to veteran's preference may be converted to career status in a position reserved for veterans only in special circumstances. See P-11, Section 262.1.

.34 Medical Evidence. Satisfactory medical evidence is required for all career appointments.

.35 Disqualifications. Any law, executive order, or postal regulation which disqualifies an employee for original appointment also disqualifies him for conversion.

.36 Temporaries or Casuals Qualified for Reinstatement. A temporary or casual who meets the requirements for reinstatement may be considered and recommended for conversion to career status, provided there is a vacancy to which the employee may be assigned.

363.4 Retirement Coverage

.41 Social Security. Employees serving in temporary or casual positions are covered by Social Security—Old Age and Survivors' Insurance (see 530).

.42 Civil Service Retirement Act. Persons receiving career appointments are automatically covered by the Civil Service Retirement Act (see 520).

364 Other Changes

364.1 Name Changes

.11 Name on Records. The name by which an employee is known must be the one used on the application for employment, or that appears on a subsequent, Form 50, *Notification of Personnel Action*, on which the employee's name is officially changed in the records of the Postal Service.

.12 Requests for Name Changes. In all cases where an employee requests to be known by a name other than the one appearing on Postal Service Records, including female employees reverting to a maiden name, the request is approved provided that it is supported by:

a. A written statement that the employee intends to use the requested name in all matters concerning the Postal Service, and

b. Appropriate evidence that the use of the requested name will not be for fraudulent purposes. Such evidence is normally a copy of a judicial order granting a name change, or a notarized affidavit that the use of the requested name will not be for an illegal, improper, or fraudulent purpose.

.13 Processing. In all cases involving a name change, nature of action code 780 and the associated procedures are used in processing the personnel action. All documents supporting the requested change are filed as permanent records in the Official Personnel Folder immediately below the Form 50 which effects the name change.

364.2 Address Change. An address change is a change in the mailing address of an employee. Form 1216, *Employee's Current Mailing Address*, is required to change the official mailing address.

364.3 Change in Title. A change in title is a change in the title of the position resulting from an administrative action, not involving a change to a higher level, a change to lower level, or a change of duties. If the position is occupied, personnel action (Form 50) is necessary.

364.4 Changes in Duty Status

.41 Definition. *Changes in duty status* are changes which place employees in a nonpay status or return them to active duty and pay status, as follows:

.42 Leave Without Pay (LWOP). A temporary nonpay status and absence from duty granted when appropriate as a result of an employee's request (does not include time spent in military service).

.43 Suspension. A temporary nonpay status and absence from duty for disciplinary or other reasons. If the suspension is for a specific period, the personnel action forms specify the exact number of days and dates of suspension.

.44 Separation—Military. (See 366.23.)

.45 Absence Without Leave (AWOL). A temporary nonpay status and absence from duty without appropriate authorization.

.46 Return to Duty. A return to active duty and pay status from LWOP in excess of 30 days or suspension for security reasons.

.47 Remarks. On the personnel action forms under remarks, indicate the authority for effecting the change action. The personnel action form should also show the reason for the action taken.

364.5 Changes Affecting Compensation.

.51 Inclusions. Changes affecting compensation are those which change an employee's base pay with no change of position or title (see Chapter 4).

.52 Processing Personnel Action Forms See P--11, Chapter 6.

365 Separation

365.1 Administrative Considerations

.11 Definition. *Separations* are personnel actions that result in employees' being removed from the rolls of the Postal Service.

.12 Effective Date of Separation. The effective date of separation is the last day the employee is carried on the rolls. It is not changed by the fact that an employee is given a lump-sum payment for leave.

.13 Standard Terminology. A separation from the service must be identified by the prescribed term. Care must be taken to use the term appropriate to the case, i.e., *death, removal, resignation,* etc. Standard procedures and terminology must be used in preparing personnel action forms.

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.14 Veterans Rights. The Veterans' Preference Act provides certain procedures and rights to veterans that must be observed in processing involuntary separations of preference eligibles.

.15 Notice to Employee About Unemployment Compensation. An employee separated for any reason must be furnished SF −8, *Notice to Federal Employee About Unemployment Compensation, and information regarding application for unemployment compensation. (See Subchapter 550).*

.16 Exit Interview. All employees voluntarily separated are interviewed. The exit interview gives management the opportunity to:

a. Determine the true reasons why employees wish to leave the Postal Service.

b. Retain the services of competent employees when a satisfactory solution of their grievances or problems can be found.

c. Correct controllable causes of employee turnover.

.17 Accountable Property Clearance

.171 Applicability. These procedures apply to all postal employees (except Inspection Service employees and postmasters for whom additional procedures are prescribed) and are in addition to prescribed exit interview procedures.

.172 When To Take Action. When an employee separates from the service, the losing installation systematically collects all accountable items from the employee. The PDC director inaugurates clearance for overdrawn leave, travel advances, and other U.S. indebtedness for which the employee is accountable.

.173 Form To Be Used. Form 337, *Clearance Record for Separated Employee*, is used to certify that necessary clearance action was taken in the employing installation.

.174 Preparation and Routing. As soon as employees submit notices of separation, Forms 337 are originated by the personnel officer and routed to the property officer who arranges for return of the accountable items. Property officers should use the telephone in obtaining clearance unless circumstances make written signatures desirable. Clearance should be completed before the close of day the employee is last in a duty status. When all accountable items are returned and in a condition satisfactory to the property officer, Form 337 is certified and filed in the employee's personnel folder.

365.2 Separations—Voluntary

.21 Resignation

.211 Definition of Resignation (RESIG). *Resignation* is a separation at the employee's request. Employees may resign at their discretion; this includes application for optional retirement. Resignations must be accepted and are binding once submitted. However, employees may be permitted to withdraw their resignation request provided the request to withdraw is made before the effective date of the resignation. Denial of an employee's request must be based on a valid reason and such reason should be explained to the employee before the effective date of the resignation. Administrative disruption or the hiring of a replacement before a request for withdrawal is made are appropriate reasons for such denial. A desire to avoid taking adverse action is not an appropriate reason for denying an employee's request.

.212 To Avoid Separation "For Cause". If employees submit a resignation after having been notified, either orally or in writing, that adverse action is being initiated proposing their removal, change to lower grade, or suspension for reasons furnished them, the resignation must be accepted. Resignation must also be accepted if employees received a written notice of decision to separate them for reasons given in a notice of decision. The reason (if any) given by the employee for resigning is shown under remarks on the personnel action form, with one of the following statements which best describe the circumstances:

a. Resigned after being orally informed on (date) that action is being initiated proposing to (separate, demote, or suspend) him/her for (reason).

b. Resigned after receiving written notice proposing to (separate, demote, or suspend) him/her for (reason).

c. Resigned after receiving written notice of decision to (separate, demote, or suspend) him/her for (reason).

.213 Because of Illness. The following policies apply in cases of resignation caused by illness:

a. 5 Years or More of Service. Employees covered by the Civil Service Retirement Act with 5 or more years of civilian service who resign because of illness must be advised of their eligibility to apply for a disability retirement.

b. Less Than 5 Years of Service. If career employees with less than five years of service resign because of illness, medical evidence supporting their claim must be furnished to the installation head by the employee at the time of separation if their seniority on reinstatement is to be restored. The existence of such evidence should be annotated on the separation Form 50. The evidence itself is forwarded to the appropriate USPS medical officer for retention.

.214 Notice and Acceptance. The following policies apply regarding notice and acceptance of resignations:

a. Written Resignation. Resignations should be submitted in writing. The employee specifies the reason and effective date. Whenever possible, written notice of resignation is given at least 2 weeks before the anticipated last day of work. Resignations are delivered by employees directly to their immediate supervisors for transmission to the appointing official. Any action to compel employees to remain beyond the date specified by them is without authority.

b. Oral Resignation. If employees decline to submit written resignations, their oral resignations must be accepted, preferably in the presence of witnesses. The supervisor or other official who receives an oral resignation records the date received, the reason given, the effective date, and the names of any witnesses. This record, signed by the supervisor, is placed in the employee's Official Personnel Folder as a permanent record. A copy of this record is sent to the affected employee, with the employee copy of the resignation Form 50.

c. Reason for Resignation. The reason for a resignation should be clearly stated in either a written or oral resignation. If the employee fails to give a reason for resignation, the supervisor enters the reason he believes the employee resigned.

d. Effective Date. When the employee sets an effective date of resignation to include a period of unapproved leave, the unauthorized absence may be charged either to earned annual leave or LWOP at the discretion of the appointing officer. The employee is informed of the decision and given the opportunity to change the effective date. If the employee is resigning in lieu of an involuntary separation, he may not set an effective date for resignation that will occur after the effective date for the involuntary separation.

.22 Separation-Transfer (S-Trans)

.221 Definition. *Separation-transfer* is an action by which career employees are taken off the rolls of a postal installation to permit their appointments to positions in another federal agency without a break in service. This term is not applicable to a movement of an employee from one postal installation to another. Resignation by the person transferring is not necessary and no resignation is requested.

.222 Effective Date. Employees who notify the appointing officers of their pending transfer may be carried in an annual leave (or nonpay, if no annual leave is due) status between the last workday in the postal installation and the entrance on duty in the other agency. No action is taken until notice of their employment has been received from the gaining agency. The personnel action form is then prepared effective as of the close of business the day before their entrance on duty date at the new activity.

.223 Replying to Requests for Suitability Information. When another government agency requests information on the suitability of an employee transferring from the Postal Service, relevant information contained in USPS records is furnished in such a manner as to safeguard its confidential nature and to protect confidential sources.

.23 Separation-Military (S-Mil)

.231 Definition. *Separation-Military* is a separation required when an employee goes on full-time active duty in the military service or when any member of a reserve component of the U.S. Armed Forces goes on an initial period of active, full-time duty for training of not less than 3 consecutive months, pursuant to official orders.

.232 Effective Date. Use the first date the employee is in a nonpay status.

.233 Postal Official Action at Time Employee Leaves.

a. Specifically identify the position the employee is leaving and the type of appointment from which the employee is being separated.

b. Ascertain whether the employee desires to receive payment for accrued annual leave.

c. Notify employees of their retirement refund rights, if any. Advise them that if they obtain their retirement refund, they will have no coverage under the retirement system, including death benefits, while they are on active military duty.

d. Notify employees of their insurance rights, if any.

e. Do not separate an employee who is, by induction or otherwise, considering going on active duty in the military service, or going on an initial period of active duty for training of 3 months or more in accordance with the Reserve Forces Act of 1955, until it is definitely determined by the military authorities whether the employee is accepted or rejected for active duty. During the interim, if employees must take their physical examination for entry into the Armed Forces at a time when scheduled for duty, excuse them with pay and without charge to annual leave for the time necessary take the examination.

f. Explain to employees their restoration rights on discharge from the military service.

.234 Restoration After Military Service

a. Employee Inducted. Employees inducted for training and service are entitled to restoration when they:

(1) Satisfactorily complete the training and service and receive a certificate to that effect; and

(2) Apply for restoration within 90 days of release either from military training and service or discharge from hospitalization which continued for no more than 1 year immediately following release from training or service.

b. Employee Enlisted. Employees who enlist after entering the employment to which they claim restoration (other than in a reserve component), are entitled to restoration when they:

(1) Serve no more than 5 years, provided that service in excess of 4 years is at the request and for the convenience of the federal government (plus additional service imposed pursuant to law);

(2) Are released from service under honorable conditions; and

(3) Apply for restoration within 90 days of release from service or discharge from hospitalization which continued for no more than 1 year immediately following release from service.

c. Employee Ordered to Active Duty. Employees ordered to active duty in the armed forces or the Public Health Service (except for determination of physical fitness or for training), voluntarily or not, after entering the employment to which they claim restoration, are entitled to restoration when they:

(1) Serve no more than 4 years (plus (a) additional service in which they were unable to obtain orders relieving them from active duty and (b) additional service under the conditions in Section 9(g)(2)(B) of the Military Selective Service Act of 1967, as amended, which provides as follows:

"Any member of a Reserve component of the Armed Forces of the United States who voluntarily or involuntarily enters upon active duty (other than for the purpose of determining his/her physical fitness and other than for training) or whose active duty is voluntarily or involuntarily extended during a period when the President is authorized to order units of the Ready Reserve or members of a Reserve component to active duty has the service limitations governing eligibility for reemployment rights under paragraph (2)(A) of this subsection extended by his period of such active duty, but not to exceed that period of active duty to which the President is authorized to order units of the Ready Reserve or members of a Reserve component: Provided, that with respect to a member who voluntarily enters upon active duty or whose active duty is voluntarily extended the provisions of this paragraph apply only when such additional active duty is at the request and for the convenience of the federal government.")

(2) Apply for restoration within 90 days of release from active duty under honorable conditions or discharge from hospitalization which has continued for no more than 1 year immediately following release from active duty.

d. Employee ordered to initial period of active duty for training.

(1) An employee who is a member of a reserve component and is ordered to an initial period of active duty for training of no less than 3 consecutive months (release in less than 3 months for reasons beyond the employee's control does not affect his restoration right) is entitled to restoration when he:

(a) Is released from that active duty after satisfactory service; and

(b) Applies for restoration within 31 days after that release or within the earlier of (1) 31 days after discharge from hospitalization incident to that active duty or (2) 1 year of his scheduled release from that duty.

.24 Separation, Retirement

See 520.

.25 Separation, Abandonment of Position.

Separation for abandonment of position is no longer used. Employees, who formerly would have been separated for this reason, are removed for AWOL. See 365.31.

365.3 Separations—Involuntary

.31 Removal (REM)

.311 Definition. *Removal* is an action involuntarily separating an employee other than an employee serving under a temporary or casual appointment, or a career employee who has not completed the applicable probationary period, for cause.

.312 Procedure

a. Bargaining unit employees follow the discipline procedures specified in the appropriate collective bargaining agreement.

b. Non-bargaining unit employees follow the discipline procedures specified in 650.

c. Employees currently serving a probationary period, see 365.32.

d. Temporary and casual employees, see 365.33.

.313 Effective Date. The effective date is the date designated by the official making the decision but is not before the expiration of the required time limit for the notice period.

.32 Separation-Disqualification (S-Disqual)

.321 Applicability. This type of separation applies only to employees who have not completed their probationary period, except where the separation is caused by a finding that employees who have completed the probationary period have failed to meet certain conditions attached to their appointment.

.322 Reasons for Action. *Separation by disqualification* results from the failure to meet conditions specified at the time of appointment (such as failure to qualify in investigation or failure to qualify by conduct or capacity during the probationary period) or it may result from information which, if known at the time of appointment, would have disqualified the employee for the appointment.

.323 Probationary Period. *Separation-disqualification* must be effected during the probationary period except as provided in 365.321. Action is initiated at any time in the probationary period when it becomes apparent that the employee is lacking in fitness and capacity for efficient service. Any separation based on disqualification not effected during the probationary period, as provided in 365.321 even though the action is based on unsatisfactory performance during the probationary period, must be effected as a removal.

.324 Physical or Mental Disability During Probationary Period. Even though employees were approved for appointment so far as physical condition is concerned, they may be separated for failure to qualify during the probationary period if their physical or mental condition renders the employee incapable of performing duties efficiently and without hazard to self and others. If practicable, employees are assigned to other positions where the physical defects would not impair efficiency or be hazardous to self or others. If such assignment cannot be made, action is taken to separate the employee by disqualification. Before making a final decision, the appointing official obtains medical advice, if possible.

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.325 Who Initiates Action. Supervisors may recommend separation-disqualification, but such recommendations must be referred for decision to the official having authority to take the action.

.326 Procedure in Separating. If an appointing official decides to terminate an employee who is serving a probationary period due to conditions arising prior to appointment, or because work performance or conduct during this period fails to demonstrate fitness or qualification for continued postal employment, the employee's services are terminated by notifying the employee in writing as to why he is being terminated and the effective date of the action. The information in the notice regarding the termination must, as a minumum, consist of the appointing official's conclusions as to the inadequacies of performance or conduct.

.327 Effective Date. The effective date of separation by disqualification must be before the end of the probationary period but may not be retroactively effective. The notice of separation must be given to the employee before the end of the probationary or trial period.

.33 Termination or Separation of Temporary or Casual Employees. An employee serving under a temporary or casual appointment may be separated at any time on notice in writing. In determining the proper action for a particular case, the following criteria are used:

a. Separation is the term used to discontinue the services of a temporary or casual employee because of inefficiency, poor deportment, or other deficiencies personal to the employee that warrant removal from the Postal Service.

b. Termination. Termination is the term used to separate an employee serving under a temporary or casual appointment whose services are no longer required or to separate a temporary or casual employee for any reason not specifically covered by another type of personnel action.

.34 Separation-Disability (S-Disab)

.341 Definition. *Separation for disability* is the separation of an employee other than a temporary, casual, or a probationary employee whose mental or physical condition renders him incapable of performing the duties of the position and who is ineligible for disability retirement.

.342 Applicability

a. Employees not eligible for disability retirement may be separated for disability if they are considered a hazard to self or to others or if they can no longer perform the duties of the position.

b. Placement of employees with partial disability is attempted through reassignment to positions in which they can perform satisfactorily without being a hazard to themselves or others.

c. At the expiration of 1 year's continuous absence without pay, an employee who has been absent because of illness may be separated for disability. This action is not mandatory, however, and if there is reason to believe the employee will recover within a reasonable length of time beyond the 1 year period, the employee may be granted additional leave in 30-day periods, not to exceed 90 days. If the employee's condition indicates that LWOP beyond that period is necessary incident to full recovery, the postal official must submit a comprehensive report to the Regional Director, E & LR, with appropriate recommendation and retain the employee on the roll pending a decision.

d. If an employee on the rolls of the Office of Workers' Compensation Programs (OWCP) is unable to return to work at the end of the initial one year period of LWOP, the LWOP may be extended for successive additional periods of up to 6 months each. Extensions are granted only if it appears likely that the employee will be able to return to work within the period of the extension. If it does not appear likely that the employee will be able to return to work during the period, the employee, upon approval of the regional General Manager, Employee Relations, is separated subject to re-employment rights.

Before any employee on the rolls of the OWCP can be separated, the requesting postal official must submit a comprehensive report through channels to the regional General Manager, Employee Relations, with appropriate recommendations. The employee must be retained on the rolls of the Postal Service pending a decision.

If the request is approved by the Region, and if the employee has sufficient service for entitlement to retirement, the employee is not separated until given an opportunity to retire. For involuntary separation, the notice and appeal procedure outlined in Part 650 of the Employee and Labor Relations Manual or the applicable collective bargaining agreement, whichever is appropriate, is followed.

e. An employee eligible for disability retirement who chooses not to apply is not separated for physical disability until a complete medical report has been received and the employee has received retirement counseling.

f. An employee eligible for disability retirement is not separated for mental disability: rather, the appointing officer files an application for disability retirement on the employee's behalf.

.343 Notice to Employee. No employee who has completed his trial or probationary period is separated for disability until given a notice in writing of the proposed action and an opportunity to reply in accordance with the appropriate adverse action procedure. A letter to a sick employee should be as diplomatic as possible. Employees eligible for disability retirement are so advised and notified that, unless they file application for disability retirement within 1 year of separation, their rights will lapse.

.344 Effective Date. Separation-disability is effective on the date determined by the appointing official or on the date authoritative notice is received in the case of legal incompetence. If unused sick leave remains to the employee's credit, the effective date may be extended to permit payment for the unused sick leave. If an annuity is involved, an employee may wish to evaluate an earlier annuity payment against the unused sick leave. Separations for disability may not be effected retroactively or before the date of expiration of the time specified in the notice.

.35 Separation—Reduction in Force (RIF). The Postal Service procedure for effecting reductions in force parallels the OPM procedure. The Postal Service attempts to make personnel adjustments by various administrative actions other than reduction in force. If these actions are not adequate, however, and reduction in force appears to be appropriate, prior approval for such action must be obtained, through channels, from the SAPMG, E & LR.

.36 Death

.361 Proof of Death. No action is taken to process the separation until credible evidence of death is received. Evidence of death is filed in the deceased employee's Official Personnel Folder. The time and date of a postmaster's death should be reported immediately to the Regional Postmaster General and the SAPMG, E&LR.

.362 Effective Date. The effective date of separation is the date of the employee's death. Personnel action forms also show the last day the employee was in a pay status.

.363 Letter of Condolence. The appropriate postal official prepares a brief letter of condolence with a simple expression of sympathy, a brief reference to any appropriate qualities of the deceased, and an offer of assistance in filing claims for any funds to the deceased's credit.

366 Appeals From Involuntary Personnel Actions

366.1 Bargaining Unit Employees

Employees subject to the provisions of a collective bargaining agreement may grieve involuntary personnel actions which they believe to be improper through the grievance procedure of the appropriate agreement.

366.2 Non-Bargaining Unit Employees

Employees not subject to the provisions of a collective bargaining agreement and who are otherwise eligible, may appeal involuntary personnel actions which they believe to be improper under the provisions of and to the extent provided by 650.

366.3 Veteran Preference Eligible Employees

Bargaining unit and non-bargaining unit employees entitled to veteran preference, as that term is defined in Section 241 of Handbook P-11, may appeal involuntary removals, suspensions of more than 14 days, and reductions in grade or pay to the Merit Systems Protection Board.

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370 Performance Evaluation

371 Introduction

Employees of the Postal Service are expected to conduct themselves in a manner which reflects favorably upon the federal government and to perform their duties in the most efficient manner. The supervisor and employee have a mutual responsibility in achieving these goals. Performance evaluation, if used properly, strengthens the day-to-day supervisor-employee relationship in working toward this end.

372 Purpose of Performance Evaluation

372.1 Standards of Performance

Standards of Performance are helpful in defining the level of performance expected of a satisfactory employee. These need not be formal or written, but each supervisor determines and communicates to employees being supervised what is expected by way of: (a) quality of work; (b) quantity of work; and (c) manner of performance, such as relationship with co-workers, contacts with public, work methods and habits, extent to which the employee should make decisions.

372.2 Sound Supervision.

Sound supervision requires that evaluation of performance be done on a day-to-day basis and counseling and instruction of the employee as necessary, giving attention to evidences of good performances as well as defects.

373 Established Performance Standards and Evaluation Systems

373.1 Standards

An employee's performance is evaluated on the basis of the following:

a. Amount of work.
b. Accuracy.
c. Reliability.
d. Neatness.
e. Thoroughness.
f. Application to duty.
g. Promptness.
h. Conduct.
i. Ability to get along with others.
j. Cooperativeness.
k. Where appropriate, performance is evaluated on the basis of other factors such as initiative, judgment, ability to direct the work of others, ability to establish and attain management objectives, etc.

373.2 Performance Evaluation Systems

.21 Formal. USPS Headquarters prescribes formal evaluation systems for a variety of purposes. A formal evaluation consists of a set of defined standards of performance, instructions for establishing a measure of where the employee fits within the standards, and a form on which the information is recorded. In the absence of a Headquarters prescribed system, other appropriate authority may prescribe an evaluation system designed to meet specific requirements within its area of responsibility. When a system not prescribed by Headquarters is developed, no attempt is made to make distinctions finer than *outstanding, satisfactory,* and *unsatisfactory. Outstanding* and *unsatisfactory* are defined as in 375. All performance not within those 2 categories is considered *satisfactory*.

.22 Informal. Informal evaluation is based on the day-to-day observations of the supervisor and is characterized by the absence of prescribed forms and written instructions. It is part of the supervisor's daily obligation to make effective use of available human resources and to give individual encouragement and/or correction. The supervisor's obligation must be a continuous process undertaken whether or not formal evaluation systems are prescribed.

374 Discussing Performance with Employees

The supervisor is responsible for discussing performance with each employee. If the employee's performance is unsatisfactory, the supervisor discusses constructive measures which employees should follow to improve their performance to a satisfactory level.

375 Outstanding and Unsatisfactory Performance

375.1 Outstanding Performance

Outstanding performance is a level of performance which far exceeds that which is normally expected of an individual in a particular position and is far above the performance and achievement of most satisfactory employees in terms of productive effort, proficiency, and significant contributions to the Postal Service. If a supervisor determines that an employee's performance is outstanding, the supervisor considers recommending the employee for a superior accomplishment award or quality step increase. Such performance is recognized in the annual merit review of EAS employees. See 634 for procedures on achievement awards.

375.2 Unsatisfactory Performance

Unsatisfactory performance is a level of performance which is repeatedly or consistently below the minimum requirements expected of an employee in the position based on an evaluation of such job-related factors as reliability, willingness to work with fellow employees, quantity or quality of work production, and attendance. If a supervisor determines that an employee's performance is unsatisfactory and reasonable efforts towards improving performance to a satisfactory level have not been successful, effort is made to reassign the employee to a job which the employee can be expected to perform satisfactorily. If there is no such job available and if disciplinary action must be taken, the appropriate adverse action procedure is followed. See 416.24 for procedure to withhold step increase when service is less than satisfactory at any time during the waiting period.

376 Performance Evaluation During Probation

376.1 Significance of Probationary Period

Probationary periods are provided as essentially the final step in the examination process. Written and other tests can assist in selecting those most likely to make valuable employees, but only an actual trial on the job can be conclusive. Proper use of the probationary period is in the best interest of both the new employee and the Postal Service. During this period the new employee is given orientation and whatever additional training is needed. Attentive treatment during the period, both in training sessions and on the job, often ensures the satisfaction and efficient service of an employee who might otherwise resign or be separated.

376.2 Informal Evaluation During Probationary Period

The supervisor is responsible for maintaining close observation of a new employee throughout the probationary period. The supervisor must analyze the new employee's performance to determine both proficiencies and deficiencies. The supervisor consistently attempts by guidance, counsel, and training to assist the new employee to correct any deficiencies in either conduct or performance.

376.3 Formal Evaluations During Probationary Period

See 378 for bargaining unit employees. See 379 for nonbargaining unit employees.

377 Probationary Periods

377.1 Length of Time Required

Some appointments are subject to completion of probationary period. Others may be subject to completion of a probationary period begun under a previous appointment. (Details on counting probationary service are in 377.2.) The following probationary or trial periods are required:

a. Career Appointment to Bargaining Unit Position. An eligible selected for career appointment from a Postal Service register serves a probationary period of 90 days. This applies not only to the first such appointment but to any subsequent career appointment by selection from a register or any other method of rehiring whether or not the appointee had previously completed a probationary period.

b. Career Appointment to Non-Bargaining Unit Position. An eligible selected for career appointment from a Postal Service register or other hiring process must serve a probationary period of 6 months of continuous service in the U.S. Postal Service or 12 months of combined service without a break of a workday, in positions in the same line of work in the Civil Service and the Postal Service, unless any part of such service was pursuant to a temporary appointment in the competitive service with a definite time limit.

c. Position Change. A career employee promoted, demoted, reassigned from one position to another, or transferred before completion of probation must complete the probationary period in the new position.

d. Temporary or Casual Appointment. Casual and temporary employees do not serve a probationary period. However, their performance should be reviewed periodically. Unsatisfactory casual or temporary employees should be separated as soon as it becomes evident the employee is unable to meet the requirements of the position.

e. Reinstatement. Former federal and postal employees who are reinstated must serve a new probationary period.

377.2 How to Count Probationary Service

.21 Periods of Absence. Periods of absence during which an employee is carried on the rolls are counted toward completion of the probationary period.

.22 Periods of Military Service. Military service is counted toward completion of a probationary period if the employees leave a position in which they were serving a probationary period to enter military service. If the military service is not sufficient to complete the probationary period, the employee is required to complete the period upon restoration or reemployment.

.23 Postal Service Prior to Personnel Action Involving New Probationary Period. Postal Service in a casual or temporary status does not count toward completion of the probationary period, even though it may have immediately preceded the career appointment.

.24 Effect of Personnel Actions During Probationary Period. Service following transfer during an employee's probationary period is counted toward completion of the probationary period.

.25 Effect of Position Changes Within the Postal Service

.251 A change from part-time flexible schedule or part-time regular employment to full-time regular (annual rate) employment does not interrupt or otherwise change the running of time counted toward completion of the probationary period.

.252 When promoted, demoted, or reassigned to another position within the Postal Service at the same postal installation, or reassigned from one installation to another within the Postal Service, the employee is not subject to serving a new probationary period, but is subject to the completion of any uncompleted probationary period.

378 Bargaining Unit Employees

378.1 Evaluation During Probationary Period

.11 At 30 and 60 days. At the end of the first 30 days and again at the end of the first 60 days of the probationary period, the supervisor prepares and submits Form 1750, *Evaluation of Job Performance*, to the postmaster or designee. The supervisor completes the required sections, checking column S for those factors which are *Satisfactory*, and checking column *U* for those factors which are *Unsatisfactory*. In the specific sections provided, the supervisor: (a) comments on factors marked unsatisfactory; (b) provides information about the training, counseling and other assistance which has been and will be provided to the probationer; and (c) makes a definite statement regarding recommendation of retention of the employee. The supervisor dates and signs the evaluation, discusses it with the employee, and obtains the employee's signature on the Form.

.12 At 80 days. At the end of the first 80 days of the probationary period, a final evaluation is prepared and submitted by the supervisor on Form 1750. The statement shows the employee's progress and contains a definite recommendation regarding whether the employee should be retained or be separated. (*Note:* In item 8 of Form 1750, the middle block may not be checked on the final evaluation.) Specific comments must be made in Section 7 concerning the training, counseling, and any other assistance undertaken to improve the probationer's performance.

.13 At other intervals. Most deficiencies can be corrected with discussion, training, and counseling. Additional formal evaluations are made only when informal evaluation has not been successful. If any additional formal evaluation is made, it is only after the employee understands his deficiencies and has had a reasonable opportunity to correct them. Form 1750 is used for any additional evaluations of probationary employees.

378.2 Evaluation After the Probationary Period

Regular evaluation of performance is encouraged after the employee has completed the probationary period. Evaluations after the probationary period are used for promotion recommendations and for step increase recommendations and for the early identification and correction of problems.

379 Non-Bargaining Unit Employees

To be published later.

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380 Postal Career Executive Service (PCES)

381 Purpose

The PCES is established to insure that the management of the Postal Service is responsive to the needs, policies, and goals of the Nation and otherwise is of the highest quality. To meet the challenges that confront a changing Postal Service now and in the future, the PCES is designed to develop and maintain a highly motivated, competent group of individuals capable of filling the key management positions of the Postal Service and of providing the type of leadership needed for the continued success of the organization.

382 Equal Opportunity

The principles of equal opportunity will be applied to all aspects of the PCES, including executive reassignment, training and development, evaluation, compensation, and awards. Individuals seeking entry into the PCES will be considered without regard to race, color, sex, religion, age, national origin, political affiliation, marital status, physical impairment, or any other nonmeritorious factor or consideration.

383 Positions in the PCES

383.1 General

Positions in the PCES are in two levels: PCES I and PCES II. Within each of these levels, positions and executives in the PCES are gradeless. This *gradeless* system allows management the flexibility to best match an executive's ability or potential with the Postal Service's staffing needs. This system also facilitates the assignment of executives to help them achieve their career goals.

383.2 PCES II Positions

The following positions are in PCES level II: Postmaster General, Deputy Postmaster General, Senior Assistant Postmasters General, Assistant Postmasters General, Regional Postmasters General, General Counsel, Chief Inspector, Controller, Treasurer, Consumer Advocate, Executive Assistant to the Postmaster General, and Judicial Officer.

383.3 PCES I Positions

The following positions are in PCES level I:

a. Headquarters: Division General Managers, Office Directors (or equivalent titles), Senior Congressional Relations Representatives, and Special Assistants to an Officer.

b. Inspection Service Headquarters: General Managers, Assistant Chief Inspectors, and Deputy Chief Inspector.

c. Law Department: Patent Counsel, Supervisory Attorneys, Assistant General Counsels, Associate Counsel—Labor Law Division (Field), Associate Counsel—Labor Law Division (Field), Associate General Counsels, and Deputy General Counsel.

d. Headquarters-related field units: General Managers and Directors (or equivalent titles) of Headquarters related units reporting to Headquarters Office Directors or higher, such as directors of postal data centers, mail equipment shops, etc.

e. Regional Headquarters: Managers, Field Real Estate & Buildings Office, Regional Counsel, Special Assistant to the Regional Postmaster General, and Regional Directors.

f. Field Units: Sectional Center Managers, Sectional Center Manager/Postmasters, Bulk Mail Center Managers, Postmasters-I, Postmaster-J, District Manager/Postmasters, District Managers, and District Directors New York District.

g. Inspection Service (field): Assistant Inspectors-in-Charge, Inspectors-in-Charge, Assistant Regional Chief Inspectors, and Regional Chief Inspectors.

384 Filling PCES Vacancies

384.1 PCES Level II Vacancies

Vacancies in PCES level II positions (except for the positions of Postmaster General and Deputy Postmaster General, which are filled pursuant to 39 U.S.C 202) are filled through appointment by the Postmaster General.

384.2 PCES Level I Vacancies

Vacancies in PCES level I positions are filled in the following ways:

a. Reassignment of PCES executives;

b. Selection of qualified individuals from the PCES candidate list;

c. Selection of other qualified postal employees; and

d. Selection of qualified individuals from outside the Postal Service.

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Chapter 4
Pay Administration

410 Salary Administration Policy for Nonbargaining Unit Employees

411 General

411.1 Scope

This subchapter establishes the conditions and procedures for setting salaries of Postal Service non-bargaining employees in supervisory, professional, clerical, administrative, and managerial positions in the EAS Salary Schedule, and applies to all employees *except* the following:

a. Employees covered by collective bargaining agreements (except as provided in 418).

b. Executives assigned to the Postal Career Executive Service (PCES).

411.2 Objectives

The principal objectives of Postal Service compensation policies are:

a. To provide compensation for Postal Service work comparable to compensation paid for comparable levels of work in the private sector of the U.S. economy.

b. To provide compensation that will attract, motivate, and retain qualified and capable personnel.

c. To provide adequate and reasonable differentials in rates of pay between employees in the clerk and carrier grades in the line work force and supervisory and other managerial personnel.

d. To provide for effective administration of salary expenditures.

e. To provide for recognition of and reward for differences in individual ability and performance.

f. To provide uniform methods for establishing and applying salary rates to employment, placement, promotion, and other changes in the status of employees.

411.3 Responsibility

.31 Assignment of Positions. Under the authority of the Senior Assistant Postmaster General (SAPMG) for Employee and Labor Relations (E&LR), the Headquarters Office of Organizational Requirements has the responsibility for determining the appropriate dollar range and salary grade for each position covered by subchapter 410.

.32 Policy and Procedural Changes. Recommendations concerning compensation policy and procedural matters are developed and evaluated by the Headquarters Office of Organizational Requirements under the direction of the APMG for Employee Relations, for submission to the Postmaster General or designee. These recommendations relate to such topics as the following:

a. The merit performance evaluation program.

b. General salary increases, including any changes in the minimum and maximum rates of salary schedules.

c. Changes in benefit plans.

.33 Determination of Salaries

.331 Responsibility of Appointing Officer. The appointing officer has primary responsibility for setting salaries of EAS employees according to the guidelines in this subchapter.

.332 Approval Required. In all cases, the appointing officer's superior must approve the salaries set by the appointing officer. In exceptional cases, approval by the Senior Assistant Postmaster General, Employee and Labor Relations Group (SAPMG, E&LR) or Regional Postmaster General (RPMG), as appropriate, is required.

.333 EAS-A Through E Annual Rates. The scheduled annual rates for postmasters in EAS-A through EAS-E are for less than a 40 hour week. These rates must be converted to an equivalent full time annual salary for comparative purposes and when applying the salary rules for changes into and within the EAS schedule, by using the following equation:

$$\frac{\text{Scheduled Ann. Rate x 2080}}{\text{Est. Annual Hrs. of Service}} = \text{Equiv. Full-Time Ann. Salary}$$

.334 Cost of Living Adjustment. In addition to their basic salary, certain non-bargaining unit employees are eligible for a semi-annual cost of living adjustment (COLA), as follows:

a. The COLA is calculated at 1¢ per hour for each full 0.4 increase in the Consumer Price Index (National Consumer Price Index for Urban Wage Earners and Clerical Workers), limited to the first 9% of the annual rise in the CPI during the fiscal year. It is paid to the extent that total salary with COLA does not exceed $45,000 per year. The effective date of these semi-annual adjustments is the second full pay period after the release of each March and September index. The "CPI Base Month," over which increases are measured in each fiscal year is that of the March preceding the start of the fiscal year.

b. Employees excluded from the COLA are:

(*1*) Officers,

(*2*) Individuals making $45,000 or more,

(*3*) Temporary and casual employees, and

(*4*) Postmasters in part-time offices as shown in e., below.

c. The cost of living adjustment is not a part of the fixed basic rate for retirement and life insurance purposes. Basic Salary + COLA = Base Salary.

d. COLA for employees in EAS grades 24 and above is limited to 75% of that paid to employees in EAS 23 and below. Further, when an individual's base salary reaches $45,000, any subsequent increase to basic salary will reduce the COLA by an equivalent amount until the COLA reaches zero.

e. EAS A through E postmasters are on a separate program which provides alternating one-time cash payments and prorata COLA. The COLA for these postmasters is a percentage of that granted to a full-time EAS 11 postmaster, and is determined by dividing the postmasters annual hours by 2,080 hours.

411.4 Rate Retention

.41 Full-Time Position. When an employee, who is not demoted, is involuntarily placed by management in an established position of lower grade, the employee continues to be paid the annual salary received in the higher grade as a protected rate, even though the employee may be reduced further in grade at a later date.

.42 Part-Time Position (Including EAS A-E Postmasters)

.421 When an employee, who is not demoted, is involuntarily changed by management from a full-time to a lower grade part-time position or from one part-time position to another part-time position of equivalent or lower grade with fewer established hours of service, the employee continues indefinitely to receive the hourly rate in effect prior to the change. After a period of 104 weeks, the current annual salary is adjusted to compensate for the change in service hours, as follows:

a. $\frac{\text{Old Annual Salary}}{\text{Old Service Hours}} = \text{Hourly Rate}$

b. Hourly Rate X New Service Hours = New Annual Salary

c. The hourly rate, as determined above, becomes the protected hourly rate which continues indefinitely regardless of the assigned hours of service in the future.

d. However, the employee receives the annual salary of the established grade and step if this amount is greater than that calculated in a. and b., above. The protected rate is discontinued.

.422 When a part-time employee with a protected rate is reduced further in grade within 104 weeks of the previous reduction, the annual salary in effect prior to the first reduction continues for the balance of the initial 104 week period. It is then adjusted in accordance with 411.421 to the annual rate applicable to the assigned hours of the first reduction for the balance of the second 104 week period. The salary is then further adjusted to compensate for the assigned hours of service of the final position.

.43 Involuntary Placement. The nondisciplinary placement of an employee by management into a lower grade is neither a disciplinary action nor a demotion. It is, however, an adverse action and must be handled in accordance with the grievance and appeals procedures in 650.

.44 Voluntary Changes in Assignment. Rate retention is not applicable to changes made voluntarily by the employee for personal convenience.

.45 Effect on Promotion. If an employee who has a protected rate is assigned to a different position, the assignment is not a promotion for purposes of pay adjustment unless the assignment is to a position with a grade higher than the grade on which the protected rate was established. On such a reassignment, the employee is placed at a salary in the new grade equal to the existing salary, and the protected rate continues. However, if the reassignment is to a position in the grade from which the protected rate was established, the existing salary is adjusted to the next higher step, if appropriate, and the protected rate is terminated.

.46 Termination of Protected Rate

.461 Reason for Terminating. A protected rate ceases at the beginning of the pay period following a determination that the employee is no longer entitled to rate retention for any one of the following reasons:

a. A break in service of 1 work day or more.

b. A demotion or voluntary change to a lower grade position.

c. A promotion or assignment change to a salary rate in a grade or range equal to or above the Protected Rate.

d. A change in compensation of the employee, for any reason to a rate equal to or higher than the protected rate.

e. The employee refuses a reasonable assignment to a higher-grade position.

.462 Salary Adjustment. When a protected rate is terminated for reasons other than those described in 411.461c. and d. above, the employee's salary is reduced to that which would be in effect if it had been reduced by the initial action to the same relative percentile point (adjusted to the next higher step, if appropriate) in the new grade as the former salary was in the previous grade.

.463 Same Relative Percentile Point. An employee's salary, which is reduced to the same relative percentile point by a change to a lower grade, is calculated in the following manner:

a. Subtract the minimum of the higher grade from the employee's salary.

b. Subtract the higher grade minimum from the higher grade maximum.

c. Divide a. by b. to determine the percentile point of the employee's salary in the higher grade.

d. Subtract the lower grade minimum from the lower grade maximum and multiply the difference by the percentile point determined in c.

e. Add the result determined in d. to the lower grade minimum. This sum is the salary in the lower grade which is at the same relative percentile point as the salary in the higher grade.

411.5 Rental Procedure for Post Office Space

.51 Rental Agreement

.511 Basis for Payment. A postmaster having a rental agreement is reimbursed on the basis of actual rental rates for the location and not on the basis of the postmaster's salary grade.

.512 Newly-Appointed Postmaster. Postmasters newly appointed as EAS A through EAS E or EAS 11 (a) are paid under standard rental agreements for the space they provide and (b) receive equipment from the Postal Service supply system.

.513 Conversion to Rental Allowance. Conversion from the rental agreement system to the rental allowance system is not permitted.

.52 Rental Allowance

.521 Allowance Amounts. The rental allowance for EAS A through EAS E postmasters who furnish quarters and equipment covers rent, fuel, light, and equipment. The rental allowance maximums for these post offices are fixed as follows:

Grade	Annual Rental Allowance
EAS A	$342.75
EAS B	514.05
EAS C	685.50
EAS D	856.80
EAS E	1,028.10

.522 Change in Allowance. If the salary grade of a postmaster (who receives an allowance) is increased, the rental allowance is not increased. If, however, the grade of the postmaster is decreased, the allowance is reduced to the amount shown in 411.521 for the new (lower) grade.

.523 Manner of Payment. Normally, payment of rental allowance is made at the same time and in the same manner as payment for basic compensation. (See also 411.524 and 411.525 below.)

.524 Absent Postmaster. When a postmaster is absent on approved leave without pay, the allowance will continue to be paid to the postmaster—not to the person performing the duties of the postmaster.

.525 Vacant Postmaster Position. When a postmaster's position is vacant and the facilities are still used by the Postal Service, claims for payment must be filed with the postal data center (PDC). *Note:*

a. If the facilities are furnished by the former postmaster (or estate), the allowance is paid to the former postmaster (or estate).

b. If the person performing the duties of postmaster provides the facilities, the allowance for the salary grade of the post office is paid to the person performing the postmaster duties.

.526 Conversion to Agreement. A postmaster receiving rental allowance is permitted to convert to the rental agreement system at any time. If the rental allowance is to be discontinued, the change is effective on the date of the rental agreement.

412 New Appointment

412.1 Career Appointment

A new employee hired into the EAS schedule is to be paid the minimum salary for the grade of the position to which hired except:

a. Exceptional Qualifications. If the appointing officer determines that the person has exceptional qualifications, the starting salary may be set up to the 25th percentile or step 3 of the grade, provided that the individual does not receive an increase in salary of more that 30% or $5,000 per annum, whichever is greater, over the salary of the previous position held outside the Postal Service. Any deviation above the 25th percentile or step 3 limitation, or a starting salary of more than 30% over the person's previous salary, requires approval of the SAPMG, Employee and Labor Relations.

b. Trial Period. If the appointing officer determines that a newly-hired person should first serve a trial period, the salary may be set not more that 10% below the minimum of the range of the grade. To determine whether to retain or separate the employee, the employee's performance must be reviewed prior to the expiration data of his/her 6-month probationary period. *Note:*

(*1*) If the employee is retained, the salary must be increased to the minimum of the grade within 12 months from date-of-hire. This salary increase is *not* a merit or step increase.

(*2*) The date for consideration for a merit or step increase is a minimum of 12 months from the date the employee is placed at the minimum rate for the grade.

(*3*) If the employee is separated, the action must occur prior to the expiration of the probationary period.

c. Reinstatement or Transfer. The appointing officer may, when more favorable to the employee, set the salary of a former or current Federal civilian or former Postal Service employee who is being given a Postal Service career appointment, at a point between the minimum and the highest basic compensation (augmented by any general increase since the date of separation) the employee previously received, raised to the next higher step. However, the salary may not be in excess of the maximum rate of the grade for the assigned position.

412.2 Temporary Appointment

A noncareer employee is hired in accordance with the provisions in 419 and is paid at the hourly rate established in the published temporary employee salary schedule.

413 Promotion

413.1 Definition

The permanent assignment, with or without relocation, of an employee (a) to an established position having a higher grade than the position to which the employee was previously assigned in the same schedule or (b) to a position with a higher than equivalent grade (see 418.1) in another schedule. See also 411.45 and 411.461.

413.2 Promotion Increase

An employee promoted within the EAS schedule receives a salary increase determined by considering the employee's salary history and job performance (e.g., merit or step increases and prior promotions within one year of effective date of current promotion). The employee receives up to a 10% increase in basic pay if the promotion is to a position one grade above the employee's present grade; and up to 15% if the promotion is to a position *two or more grades* above the employee's present grade. *Note:*

a. Increases of less than 8%, except as provided in b. and c. below, must be approved by the RPMG for regional field employees or by the SAPMG, E&LR Group for regional headquarters and Headquarters employees.

b. The new salary cannot be below the minimum or exceed the maximum of the new grade.

c. Except when required to bring an employee's salary to the minimum of the grade or to place the salary in the next highest step, the total of an employee's promotion and merit or step increases in any 12-month period cannot exceed 15% of the employee's basic salary at the beginning of the 12-month period, unless a waiver has been granted by the SAPMG, E&LR Group.

d. If a proposed increase falls between steps of the new grade, the salary is increased further to the next higher step.

413.3 Considerations

Situations which supplement the definitions and salary rules for promotion to or within the EAS schedule are stated below:

a. Regular Merit Increase Not Canceled Due to Promotion. An employee who has been approved for a merit increase but is promoted prior to the effective date of the award will have the scheduled merit increase advanced to the date of the promotion and added to the basic salary prior to computation of promotional increase. A new waiting period eligibility will begin on the date of promotion. The promotion and merit increase should be adjusted so that a combination of the two does not exceed 15% of the basic salary immediately prior to the effective date of the first action.

b. Step Increases Not Canceled Due to Promotion

(*1*) An employee in the step program who is rated Outstanding and is promoted *after* the first step increase is effected has the second step increase advanced to the date of promotion. The promotion date starts a new waiting period for eligibility for the next merit.

(*2*) An employee in the step program who is rated Outstanding and is promoted *before* the first step is effective will have the two merit step increases advanced to date of promotion. The new waiting period eligibility will begin on the date of promotion.

(*3*) An employee in the step program who is rated Good and is promoted *before* the scheduled merit step increase will have the merit step increase advanced to date of promotion and begin a new waiting period for eligibility for the next merit on that date.

(*4*) An employee in the step program who is rated either Outstanding or Good, and who is promoted to the regular merit range, is treated under (1), (2), or (3) above, as appropriate.

(*5*) The dollar amount of the originally scheduled step increase is applied in all of the above cases, and if this produces an off-step situation, the salary is further advanced to the next higher step, or to the mimimum of the new grade, where appropriate.

c. Employee with Rate Retention. When an employee who has a protected rate (see 411.4) is assigned to a different position, the assignment is not a promotion, unless it is to a position with a grade higher than the grade for which rate retention was established.

d. Employee Below Mimimum Rate. An employee hired below the mimimum rate (see 412.1b) is not eligible for promotion until placed in the mimimum rate of the grade for which hired.

e. Change in Job Evaluation Criteria. When an employee's position is upgraded as a result of a change in job ranking standards/guidelines or evaluation criteria, the EAS promotion rules do not apply. The appointing officer may increase the employee's basic salary up to 5%, with further advancement to the next highest step, if appropriate, to place the employee in the appropriate point in the salary range of the higher grade position.

f. Change in Duties and/or Responsibilities. When, through the job evaluation process, an employee's position is upgraded because of additional duties and/or increased responsibilities, the promotion rules in 413.2 apply.

413.4 EAS A Through E Postmasters

.41 When a postmaster in an EAS A through E post office is assigned to another EAS A through E post office, the postmaster's basic salary will be adjusted to that of the equivalent step for the grade of the new assignment. The existing anniversary date for a step increase is retained.

.42 When a postmaster in an EAS A through E post office is promoted to a position that is in a grade higher than EAS-E, the postmaster's basic salary will be raised to that of the equivalent full-time annual salary (see 411.332) and then further increased in accordance with the promotion procedures in 413.2.

414 Reassignment

414.1 Definition

The permanent assignment, with or without relocation, of an employee (a) to an established position with the same grade in the same schedule or (b) to a position with an equivalent grade in another schedule. An employee's salary is not changed as a result of reassignment, and any scheduled merit or step increase is granted as originally scheduled. The gaining manager cannot delay or reduce the scheduled increase as it was earned before the reassignment.

414.2 EAS-E and Below Postmaster Positions

When an employee is appointed as postmaster in EAS-E or below:

(*1*) The employee will be placed (a) in step 1 of the grade for the position, or (b) at the discretion of the appointing official, in any higher step which is less than one full step above the highest basic compensation received as a postal employee and does not exceed the rate for the maximum step of the grade.

(*2*) The annual salary should be converted to an hourly regular rate (2080) and then multiplied by the annual scheduled service hours for the grade. The resultant annual salary is used to place the employee in the same or next higher annual step of the grade.

415 Change to Lower Grade

415.1 Demotion

.11 Definition. The permanent assignment, with or without relocation, due to unsatisfactory performance, of an employee to an established position with a lower grade in the same schedule or lower than equivalent grade in another schedule. *Regulation:* any demotion action and the setting of a new salary grade for the demoted employee must be effected according to the adverse personnel actions, grievance and appeal provisions in 650.

.12 Salary Adjustment. The salary for an employee demoted *to or within* the EAS schedule is reduced as follows:

a. The new salary is set at the same relative percentile point (adjusted to the next higher step, if appropriate) in the new grade as the former salary was in the previous grade. See 411.463.

b. In no case may the salary be set above the maximum for the new grade or above the employee's salary before the demotion.

c. If the demoted employee has a protected rate, the rate retention is terminated at the time of demotion.

d. Creditable service in the higher grade position is not retained, and the employee begins a new waiting period for a step increase in the lower grade.

415.2 Voluntary Change to Lower Grade

.21 Definition. The permanent assignment, with or without relocation, solely by personal request and with management approval, of an employee to an established position with a lower grade in the same schedule or lower than equivalent grade in another schedule.

.22 Salary Adjustment. The salary of an employee who voluntarily requests a change to a lower grade is immediately reduced, as follows:

a. Normally, the salary is set at the same relative percentile point (adjusted to the next higher step, if appropriate) in the new grade as the former salary was in the previous grade. See 411.463.

b. In no case may the salary be set above the maximum for the new grade or above the employee's salary immediately before the change in assignment.

c. If the employee has a protected rate, the rate retention is terminated at the time of voluntary change in assignment.

d. Creditable service in the former position towards a step increase is retained.

415.3 Involuntary Change to Lower Grade (Non-Disciplinary)

.31 Definition. The permanent assignment, with or without relocation, by management action and when a demotion is not involved, of an employee to an established position with a lower grade in the same schedule or lower than equivalent grade in another schedule. An involuntary change to a lower grade can be either an individual action affecting a single employee or a general action that affects an entire class or group of employees. Regulation: any involuntary change to a lower grade must be effected according to the grievance and appeals provisions in 650.

.32 Salary Adjustment. Although immediately reduced in grade and, if appropriate, assigned to a step in the lower grade, the salary of an employee who is involuntarily changed to a lower grade is continued as a protected rate in accordance with the rate retention procedures in 411.4.

.321 An employee who is scheduled for a regular merit or step increase, may have this increase advanced to the date of the grade reduction and included in the protected salary. If this results in a salary above the maximum of the lower grade, the employee will be red-circled in the new grade.

.322 Normally, the employee is assigned to that step in the lower grade that is at the same relative percentile point (adjusted to the next higher step, if appropriate) as the employee's salary was in the higher grade. See 411.463.

.323 The anniversary date for a step increase remains unchanged from that of the higher grade at which time the assigned step in the lower grade in automatically increased until the dollar value of the step surpasses the employee's protected salary. The employee is then eligible to receive a step increase, or partial step increase if the protected salary falls between steps, and the salary protection ceases.

416 Periodic Salary Increase

416.1 Merit Performance Evaluation Program

The performance of each employee in the EAS Schedule is evaluated by management on a regular basis. As a result of this evaluation process, an eligible employee may be granted a periodic in-grade merit salary increase, either a step or a percentage increase, as appropriate. Details of the administration of this program are issued, when necessary, as Management Instructions.

416.2 General Provisions for Step Increase

.21 Eligibility Requirements. Eligibility for a periodic step increase or other equivalent increase (excluding a *quality step increase*) is based on four conditions. An employee must have:

a. Received an appointment that is not "Time limited",

b. Received a merit performance evaluation of Good or Outstanding,

c. Completed the required waiting period of 52 weeks, and

d. Not received an equivalent increase (see 416.22) during the waiting period. (*Note:* A new date starts with receipt of a step increase or other equivalent increase received as a result of an individual personnel action.

.22 Equivalent Increase. An amount equal to or greater than the difference between the step an employee has attained in an assigned position and the next higher step of the grade for the assigned position. A quality step increase is an incentive award—not an equivalent increase.

.23 Creditable Service

.231 Postal. Except as provided in 416.232 and 416.233, credit for advancement for step increase may be earned only for time on the rolls of the Postal Service. Such credit earned during a previous period of postal employment is retained by an employee who is reinstated within 52 weeks of the date of separation, provided an equivalent increase (416.22) is not received at the time of reinstatement. Prior service under a casual or temporary appointment is not creditable.

.232 Military. Employees who are returned to postal duty following a separation or leave for military duty will receive credit for such period of military duty as if duty with the Postal Service had been continuous.

.233 Injury Compensation. An employee on official absence due to an injury compensable under rules of the Office of Workers' Compensation Programs shall receive credit for such period of absence as if duty with the Postal Service had been continuous.

.24 Leave Without Pay. When an employee has been on leave without pay for 13 weeks or more and was not on military furlough or on the rolls of the Office of Workers' Compensation Programs, the scheduled date for the employee's next step increase is deferred as follows:

Period of Absence Without Pay	Deferment Period
0 to less than 13	No deferment.
13 to less than 26	7.
26 to less than 40	13.
40 to less than 52	20.
52	26.
More than 52	One pay period for each 2 weeks of LWOP.

Note: With over 52 weeks of LWOP, employee is terminated from life insurance and health benefits coverage.

.25 Processing a Step Increase

.251 Notification of Increase. At least 45 days prior to the effective date, the PDC provides installations with two copies of a report listing those employees who have completed the required waiting period for advancement to the next step. Leave Without Pay (LWOP) hours, when sufficient to require withholding of a step increase (see 416.24), are printed on the listing.

.252 Supervisor's Action. When supervisors receive the step increase turn-around listing, they must:

a. Check the effective date and performance code (O. G, or M) against the previously determined performance evaluation.

b. Annotate the listing to show any required adjustments or corrections.

c. Foward both copies to the installation head.

.253 Disposition by the Installation Head. After review and approval by the installation head, only the first copy of those turn-around listings which show adjustments or corrections and those with a performance code of O or M are returned to the PDC by the deadline date.

a. All other turn-around listings are retained by the local office as an audit trail until the automatically generated Form 50 is received, indicating that the step increase has been processed.

b. Note that turn-around listings that are not returned to the PDC by the deadline date will result in step increases being automatically processed in accordance with the original data contained therein.

.26 Withheld Increase. Employees who receive a rating of Marginal, and are denied a step increase, have the right to appeal this decision in accordance with greivance procedures in 652.4.

.27 Simultaneous Personnel Actions. When a step increase and a personnel action are scheduled for the same effective date, the step increase will be granted first, and then the personnel action will be effected in accordance with the applicable pay rules. When a general pay adjustment is effective, other personnel actions should be processed prior to making the general pay adjustments, unless otherwise instructed.

416.3 Association Officials

.31 Salary Increase. An employee who is placed on LWOP to devote full-time service as an elected national officer of a recognized organization of supervisory or other managerial personnel is credited with Step Merit or Regular Merit Increases to basic salary as if continuing in a pay status, as follows:

a. If within the step portion of the EAS Salary Schedule, the employee is credited with a one step increase.

b. If within the non-step portion of the EAS Salary Schedule, the employee is credited with a percentage increase equal to the average percentage increase for his/her grade. The amount of this percentage increase is determined by the Employee Relations Department and transmitted to the appropriate regions for action.

.32 Effective Date of Increase. Increases are effective on the employee's regular anniversary date. (See 562.264 for contributions into the retirement plan.)

417 Temporary Assignment

417.1 Definition

.11 Temporary Assignment. The placement of an employee in another established position, which is vacant or the incumbent is absent from duty, for a short period of time to perform duties and responsibilities other than those specifically set forth in his/her position description when a formal reassignment and/or promotion personnel action is not required.

.12 Officer in Charge. The salary of an employee temporarily assigned to a post office as Officer in Charge is determined in accordance with the provisions of 417.

417.2 Time Limits and Approvals

The maximum duration of a temporary assignment and the approvals required are covered in 353.3. Temporary assignments must be carefully monitored by management to confirm their continued necessity. Form 1723, *Assignment Order*, is used to authorize a temporary assignment. Any assignment for 30 or more calendar days must also be authorized with Form 1633, *Assignment Order for Nonbargaining Employees*, by the appropriate manager and evaluated on a continuing basis by the next higher organizational level.

417.3 Temporary Assignment to Same or Equivalent Grade

Employees temporarily assigned to perform duties of the *same grade* or of an equivalent grade (418.1) continue to receive their existing basic salary.

417.4 Temporary Assignment to Lower Grade

Employees temporarily assigned to perform duties of a lower grade continue to receive their existing basic salary.

417.5 Temporary Assignment to a Higher Grade

.51 General Requirement. An employee who is temporarily assigned to a higher-grade position must be assigned the primary or *core* duties and be directed to assume the major responsibilities of the higher-grade position to be eligible for higher level pay under the conditions of this section.

.52 Criteria. Higher level assignments are made only as necessary to ensure efficient operations. *Note:* Higher level payment is authorized for the relief of managers, station and branch operations, as an exception to the existing instructions on standard structures for carrier stations and branches.

.53 Eligibility. All employees, whose temporary assignment meets the conditions described in 417.54, are eligible for higher-level pay when temporarily assigned to an authorized established EAS position in a higher grade than that of the position to which permanently assigned, except the following:

a. Employees temporarily assigned under the Headquarters/Field Interchange Program, except when assigned as Officer in Charge at a higher grade.

b. Management Associates.

c. Employees participating in development programs specifically authorized by the SAPMG, E&LR Group.

.54 Conditions.

.541 Field Installations. Higher level pay is authorized to eligible employees temporarily assigned to an EAS position in a management sectional center, bulk mail center, or subordinate installation for all such service of a full tour of 8 hours or more.

.542 Headquarters Installations. A temporary assignment to an EAS position in National, Regional, and District Headquarters, or administrative supporting facilities is authorized to an eligible employee under the following conditions:

a. An employee may be temporarily assigned to an established position as soon as position becomes vacant, or the incumbent is absent, or at any later time that it is necessary to have the position fully covered. Higher level pay, however, is not authorized during the first 30 calendar days of such an assignment.

b. Higher level pay is authorized beginning on the 31st calendar day of an employee's temporary assignment.

c. Different employees are not to be assigned consecutively to the same vacancy solely to avoid the higher level pay requirements.

d. Higher level pay is authorized to eligible employees temporarily assigned to an established first-line supervisory position in the Office of Headquarters Services, postal data centers, automatic data processing centers, Mail Equipment Shops, supply centers, Los Angeles Test Center, Maintenance Technical Support Center, Mechanization Overhaul Center, Postal Service Training & Development Institute, and the Security Force. Higher level pay is authorized only after the supervisory position has been vacant, or the incumbent has been absent, for three or more continuous weeks, and provided the higher level service is for one full working day or more.

e. Immediate higher level pay is authorized for eligible employees who are temporarily assigned as an ad hoc EEO Counselor, EAS-15, provided:

(*1*) The employee has completed the training certificate requirements, and

(*2*) The assignment is scheduled in advance and approved by the employee's immediate supervisor, and

(*3*) The higher level service is performed in increments of one hour or more.

.543 PCES Positions. Temporary assignments into or within the Postal Career Executive Service are made in accordance with the provisions of the PCES Program.

.55 Payment Amount. (See Exhibit 417.55). Higher level pay is calculated as follows:

a. Within Nonbargaining Schedules. The employee receives an increase to the basic salary equal to a standard differential of 8% of the minimum basic rate for the position in which higher level service is performed. (See 417.56 for payment factors.)

b. From Bargaining to Nonbargaining Schedule. The employee receives an increase in base salary (including bargaining unit COLA) equivalent to that granted when promoted, if the adjusted base salary falls between two base salary steps of the higher grade, the salary is advanced further to the higher step. The employee continues to receive the bargaining unit COLA. See 418.53 for details.

.56 Payment Factors.

.561 Maximum Rate. Total higher level compensation must not exceed the maximum salary rate of the higher level position in which such service is performed, or the employee's existing basic salary if above the maximum.

.562 Holiday Pay. When a full-time salaried employee is eligible for higher level pay and performs higher level service:

a. The employee is paid for the holiday at the rate of the higher level position, provided that higher level service is performed both on the workday preceding the holiday and on the workday following the holiday.

b. The employee is paid at the rate of the higher level position for work on a holiday.

.563 Annual, Sick, or Other Paid Leave During Higher Level Service

a. When a full-time salaried employee is absent on approved annual, sick, or other paid leave falling within a period of temporary assignment to a higher level position, the employee will be paid at the rate for the higher level position provided that he/she serves both on the workday immediately preceding and the workday immediately following the period of absence.

b. If a second person is assigned to replace the absent employee, the original temporary higher level

Exhibit 417.55

HIGHER LEVEL PAY

	To RSC / From RSC	BARGAINING					NONBARGAINING		
		D (ADPC)	N (PDC)	P (PS)	K (Oper. Srv.)	H (RDS)	F (EAS A-E)	E (EAS) Steps	E (EAS) No Steps
BARGAINING	D (ADPC)	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Keep COLA.	N/A	Not Allowed	N/A	1 Step. Slot. Keep COLA.	8% of basic. Keep COLA.
	N (PDC)	"	"	"	N/A	"	"	"	"
	P (PS)	"	"	"	2-3 Steps. Slot. Keep COLA.	"	"	"	5% Min. of H/L. Keep COLA.
	K (Oper. Srv.)	"	"	"	"	"	"	"	"
	H (RDS)	2-3 Steps. Slot. No COLA.	2-3 Steps. Slot. No COLA.	2-3 Steps. Slot. No COLA.	2-3 Steps. Slot. No COLA.	"	"	1 Step. Slot. No COLA.	5% Min. of H/L. No COLA.
NONBARGAINING	F (EAS A-E)	Adj. to F/T. 2-3 Steps. Slot. Keep COLA.	Adj. to F/T. 2-3 Steps. Slot. Keep COLA.	Adj. to F/T. 2-3 Steps. Slot. Keep COLA.	N/A	"	To equiv. step in higher grade. Keep COLA.	Adj. to F/T. 8% Min. H/L. No Slot. Keep COLA.	Adj. to F/T. 8% Min. H/L. Keep COLA.
	E (EAS-Steps)	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Keep COLA.	"	N/A	8% Min. H/L. No Slot. Keep COLA.	8% Min. H/L. Keep COLA.
	E (EAS-NO Steps)	5% of basic Slot. Keep COLA.	5% of basic Slot. Keep COLA.	N/A	N/A	"	"	"	"

Slot—If new salary falls between steps of the higher grade, advance to the next step.

assignment shall be cancelled and the absent employee has no entitlement to higher level pay for any part of the leave period.

.564 Determination of FLSA Status. See 434.144 to determine an employee's eligibility for overtime and other premiums when, due to a temporary assignment, both FLSA exempt and nonexempt work are performed in a single workweek.

417.6 Temporary Assignment as Postmaster Replacement

.61 A career employee temporarily assigned to serve as a leave replacement for an EAS A to E postmaster will receive the highest of the following:

a. The step 1 salary for the grade of the postmaster.

b. The salary of the lowest step of the postmaster's grade which exceeds the employee's regular basic salary on an hourly equivalent basis.

c. The employee's existing basic salary on an hourly equivalent basis.

.62 A career employee temporarily assigned to perform the duties of a Postal Operations Administrator (POA)—for postmaster replacement in EAS 11 and above—will receive higher level pay at two grades below that of the postmaster.

417.7 Applicable Premiums

.71 Upon Acceptance of the Initial Assignment

.711 Acceptance of a temporary nonbargaining assignment is a voluntary action by an employee. Accordingly, Out-of-Schedule Overtime or Non-bargaining Rescheduling Premium is not authorized for a schedule change upon accepting the initial assignment.

.712 The initial assignment is the set of instructions given to the employee prior to accepting the detail. It may include working in one or more non-bargaining positions and/or being assigned to the same or different tours over several days, not neccessarily consecutive days. Any return to the employee's permanent position that takes place after the completion of the initial assignment is a break in the temporary assignment. A subsequent temporary assignment is considered to be a new initial assignment. If an employee continues in an assignment beyond the time specified in the initial assignment, Non-bargaining Rescheduling Premium is not payable unless there is a schedule change from the assigned hours on the last day of the initial assignment and unless fewer than seven days advance notice is given.

.72 During the Assignment

.721 Bargaining unit employees, while on temporary assignment in a non-bargaining position, are not covered by their collective bargaining agreement; and, therefore, are not governed by the provisions of, nor entitled to the benefits provided by, such an agreement. Thus, they are not eligible for Out of Schedule Overtime, Guaranteed Time, PDC On-Call Time, or Holiday Scheduling Premium.

.722 All bargaining unit and non-bargaining employees, while on temporary assignment, are eligible for the overtime, or compensatory time, and premiums applicable to the assigned non-bargaining unit position (See 434). However, if 50% or more of the actual hours worked during an FLSA workweek are performed in a position eligible for overtime, an employee must be paid overtime for all hours in the week that are in excess of 8 paid hours in a day or 40 paid hours in the week.

418 Assignment to a Different Salary Schedule

418.1 Equivalent Grades

When an employee is reassigned, promoted, or otherwise permanently or temporarily changed to a position in another salary schedule, see Exhibit 418.1 for grades that are equivalent for pay purposes.

418.2 Temporary Assignment

.21 The rules for temporary assignment to a lower, equivalent, or higher grade non-bargaining position from a position in a bargaining or nonbargaining pay schedule appear in Part 417.

.22 The bargaining unit cost of living adjustment is not merged into basic salary or discontinued during the period a bargaining unit employee is temporarily assigned to a nonbargaining position.

.23 See Exhibit 417.55 summarizing pay calculations and eligibility for temporary higher level assignments to different salary schedules for both bargaining unit and non-bargaining employees.

418.3 Changes Between Non-bargaining Schedules

Changes between the EAS and PCES salary schedules are made in accordance with the provisions of the Postal Career Executive Service Program.

418.4 Changes From Nonbargaining to Bargaining Schedules (See Exhibit 418)

.41 Collective Bargaining Agreements. The change actions described in this section must be in accordance with any applicable collective bargaining agreement.

.42 Permanent Assignment to Equivalent Grade.

.421 A nonbargaining employee permanently assigned to a bargaining unit position of equivalent grade is placed in a step of the new grade equal to the existing basic salary.

.422 If the existing basic salary falls between two steps of the new grade, the new salary will be the higher of the two steps.

.423 If the existing basic salary exceeds the maximum of the new grade, the employee will have a protected rate for 104 weeks except that, if the assignment is a voluntary change, the employee's salary may not exceed the maximum of the new grade.

.424 Creditable service in the former position towards a step increase is maintained. However, when an employee has served 52 weeks or more in the maximum step of the old position, the salary will be advanced one step in the position to which changed, provided all of the following conditions are met:

a. An equivalent increase is not received.

b. The employee has satisfactory service.

c. The assignment is to a step below the maximum of the new position.

.43 Permanent Assignment to Higher grade. When a nonbargaining employee is promoted to an established bargaining unit position having a higher grade equivalent than the employee's nonbargaining position, the basic rate will be determined as follows:

a. For a promotion of *one or two grades* higher than the equivalent grade, the employee will receive two full step increases in the grade from which promoted or 5% of basic salary, if the employee is in a grade without steps.

Exhibit 416.1 Equivalent Grades

SALARY SCHEDULE (RATE SCHEDULE CODE)

ADPC (D)	EAS (E)	NPPN (G)	RDS (H)	OPER. SERVS. (K)	PDC (N)	PS (P)	DAD (W)
	1-4						
	5,A-E						
	6						6,9
			1,2,3	1			
	7		4,5,6	2			10
	8		7,8			1	11
8	9		9,10	3		2	13
9			11	4		3	
10,11	10		12	5	6,7,8	4	15
12	11	Nurse	13	6	9,10	5,RC	16
13	12		14	7	11,12	6	17
14			15		13	7	
15	13		16	8	14	8	
16	14			9	15	9	19
17	15				16	10	
18	16				17	11	21
19	17		17		18		22
	18		18		19		
	19		19		20		
21	20		20		21		
	21		21		22		
	22		22				
	23		23				
	24		24				
	25		25				

To use the chart:

1. Locate the Salary Schedule and grade of the employee's position prior to the change action.
2. Cross over to the Salary Schedule into which the employee is being assigned.
3. The change is
   a. A *reassignment,* if the new grade is on the same level as the previous grade.
   b. To a *lower level,* if the new grade is on a lower level than the previous grade.
   c. A *promotion,* if the new grade is on a higher level than the previous grade. The number of lines on the chart between the old grade and the new grade is considered to be the number of grades increased for the purpose of calculating the promotional increase and new salary.

Exhibit 418

PROMOTIONAL INCREASE

	To RSC	BARGAINING					NONBARGAINING		
	From RSC	D (ADPC)	N (PDC)	P (PS)	K (Oper.Srv.)	H (RDS)	F (EAS A—E)	E (EAS— Steps)	E (EAS— No Steps)
BARGAINING	D (ADPC)	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Drop old, add new COLA.	2-3 Steps. Slot. Keep COLA.	N/A	2 Steps. Slot. Drop COLA.	N/A	old-new COLA to Basic. 1 Step Slot. Drop old, add new COLA.	10-15% of Basic. Drop old, add new COLA.
	N (PDC)	2-3 Steps. Slot. Drop old, add new COLA.	"I"	2-3 Steps. Slot. Drop old, add new COLA.	N/A	"	"	"	"
	P (PS)	2-3 Steps. Slot. Keep COLA.	"	2-3 Steps. Slot. Keep COLA.	2-3 Steps. Slot. Drop old, add new COLA.	"	"	"	old-new COLA to Basic. 5% Min. H/L. Drop old, add ew COLA.
	K (OPER.SRV.)	2-3 Steps. Slot. Drop old, add new COLA.	"	2-3 Steps. Slot. Drop old, add new COLA.	2-3 Steps. Slot. Keep COLA.	"	"	"	"
	H (RDS)	2-3 Steps. Slot. Add COLA.	2-3 Steps. Slot. Add COLA.	2-3 Steps. Slot. Add COLA.	2-3 Steps. Slot. Add COLA.	"	"	1 Step. Slot. Add COLA.	5% Min. H/L Add COLA.
NONBARGAINING	F (EAS A—E)	Adj. to F/T 2-3 Steps. Slot. Drop old, add new COLA.	Adj. to F/T 2-3 Steps. Slot. Drop old, add new COLA.	Adj. to F/T 2-3 Steps. Slot. Drop old, add new COLA.	N/A	Adj. to F/T 2 Steps. Slot. Drop COLA.	To equiv. steps in higher grade Drop old, add new COLA	Adj. to F/T 10-15% of basic. Slot. Drop old, add new COLA.	Adj. to F/T 10-15% of basic. Drop. old, add new COLA.
	E (EAS—Steps)	2-3 Steps. Slot. Drop old, add new COLA.	2-3 Steps. Slot. Drop old, add new COLA.	2-3 Steps. Slot. Drop old, add new COLA.	2-3 Steps. Slot. Drop old, add new COLA.	2 Steps. Slot. Drop COLA.	N/A	10-15% of basic. Slot. Keep COLA.	10-15% of basic. Drop old, add new COLA.
	E (EAS—No) Steps)	5% of basic. Slot. Drop old, add new COLA.	5% of basic. Slot. Drop old, add new COLA.	N/A	N/A	5-8% of basic. Slot. Drop COLA.	N/A	"	"

Slot—If new salary falls between steps of the higher grade, advance to the next step.

b. For a promotion of *more than two grades* above the equivalent grade, the employee will receive three full step increases in the grade from which promoted or 8% of basic salary, if the employee is in a grade without steps.

c. If the amount calculated (according to *a* or *b* above), when added to the employee's basic compensation, falls between steps of the new grade, it will be further increased to bring the salary to the next higher step of the new grade.

d. The amount calculated (according to *a* or *b* above) may be exceeded to bring the employee's salary to the minimum of the new grade.

e. The new salary may not exceed the highest step of the new grade.

.44 Permanent Assignment to Lower Grade. Rules for this situation depend on whether the reduction is (a) disciplinary, (b) voluntary, or (c) nondisciplinary and involuntary. See Subchapter 420.

.45 Cost of Living Adjustment. The non-bargaining COLA is terminated and the bargaining unit COLA is added to the adjusted basic rate of pay of nonbargaining employees who are permanently assigned to a bargaining unit position.

418.5 Changes From Bargaining to Nonbargaining Schedules (See Exhibit 418)

.51 Collective Bargaining Agreements. The change actions described in this section must be in accordance with any applicable collective bargaining agreements.

.52 Permanent Assignment to Equivalent Grade.

.521 A bargaining unit employee who is permanently assigned to a nonbargaining unit position of equivalent grade is placed in the new grade at the existing basic salary, provided this salary is not below the minimum of the new grade.

.522 If the existing basic salary falls between two basic salary steps of the new grade, the new basic salary will be the higher of the two steps.

.523 If the existing salary exceeds the maximum of the new grade the employee will have an indefinite protected rate (See 411.4), except that, if the assignment is a voluntary change, the employee's salary may not exceed the maximum of the new grade.

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.524 The bargaining unit COLA is terminated and the non-bargaining COLA is added to the adjusted basic salary. See 411.334.

.525 Creditable service in the former position towards a step increase is maintained. The employee may be granted a step increase after 52 weeks, provided this date falls within the current fiscal year, even though the employee was not considered during the last annual merit performance review. However, when an employee has served 52 weeks or more in the maximum step of the old position, the salary will be advanced immediately one step in the position to which changed, provided all of the following conditions are met:

a. An equivalent increase is not received.
b. The employee has satisfactory service.
c. The assignment is to a step below the maximum.

.53 Permanent Assignment to Higher Grade

.531 A bargaining unit employee (including those in ADPCs and PDCs) permanently assigned to a higher equivalent grade in the step portion of the EAS pay schedule receives a salary adjustment to basic salary equal to (a) the amount of bargaining unit COLA reduced by the amount of non-bargaining COLA, plus (b) a one step increase of the employee's present salary grade. If the new basic salary falls between the basic salary steps of the new grade, it is advanced to the next higher step. It may not be below the minimum or exceed the maximum of the new grade.

.532 A bargaining unit employee (except those in ADPCs and PDCs. See 418.533) permanently assigned to a higher equivalent grade in the non-step portion of the EAS schedule receives a salary adjustment to basic salary equal to (1) the amount of bargaining unit COLA reduced by the amount of non-bargaining COLA, plus (2) 5% of the minimum basic rate of the new EAS grade. The new salary may not be below the minimum or exceed the maximum of the new grade.

.533 A bargaining unit employee in an Automatic Data Processing Center (ADPC) or a Postal Date Center (PDC) permanently assigned to a higher equivalent grade in the non-step portion of the EAS schedule receives a salary adjustment in accordance with 413.2.

.534 In all cases, the bargaining unit COLA is terminated and the non-bargaining COLA is added to the adjusted basic salary. See 411.334.

.54 Permanent Assignment to Lower Grade.

.541 A bargaining unit employee permanently assigned to a lower equivalent grade in the EAS pay schedule receives a salary adjustment in accordance with 415.

.542 The bargaining unit COLA is terminated and the non-bargaining COLA is added to the adjusted basic salary. See 411.334.

.543 Creditable service in the former position towards a step increase is maintained. The employee may be granted a step increase after 52 weeks, provided this date falls within the current fiscal year, even though the employee was not considered during the last annual merit performance review. However, when an employee has served 52 weeks or more in the maximum step of the old position, the salary will be advanced immediately one step in the position to which changed, provided all of the following conditions are met:

a. An equivalent increase is not received.
b. The employee has satisfactory service.
c. The assignment is to a step below the maximum.

419 Supplemental Workforce

419.1 Casual Employee

.11 Definition. Casual employees are non-bargaining, non-career employees with limited term appointments used as a supplemental work force, as described in collective bargaining agreements, who perform duties assigned to bargaining unit positions.

.12 Salary Grade. Appointments of casuals are made to the position of Casual, Occupation Code 5201-1001, at a special EAS 7 salary grade established for casuals.

.13 Rate of Pay

.131 A casual employee is paid on an hourly basis for work performed in accordance with the casual rates established in the published Schedule of Hourly Rates for Temporary and Casual Employees.

.132 A casual employee is not entitled to the bargaining unit cost-of-living adjustment (COLA). Time served as a casual in not creditable toward step increases. Upon conversion to a career position, the employee begins earning creditable service for any step

increase but does not receive credit for prior casual service.

419.2 Temporary Employee

.21 Definition. Temporary employees are non-bargaining, non-career employees with a limited term appointment up to, but not to exceed one year, who perform duties assigned to non-bargaining or rural carrier positions, including Emergency Substitute Rural Carrier and Rural Auxiliary Assistant. Officers-in-Charge appointed from outside the Postal Service on or after January 1, 1977 also are considered as temporary employees.

.22 Salary Grade. Prior to hiring a temporary employee, the installation head or other appointing official should carefully assess his/her operational needs and determine what types of work assignments need to be performed and the anticipated duration of the work assignments. Based on this determination, the temporary employee should be hired at the EAS grade which most closely reflects the appropriate existing compensation level for the work assignment that the employee will perform. Note that temporary rural carrier employees are compensated in accordance with a special rural carrier pay schedule.

.23 Rate of Pay

.231 A temporary employee is paid on an hourly basis for work performed in accordance with the rates established in the temporary employee salary schedule.

.232 A temporary employee is not entitled to the non-bargaining cost-of-living adjustment (COLA). Time served as a temporary employee is not creditable toward step increases. Upon conversion to a career position, the employee begins earning creditable service for step increases, when applicable, but does not receive credit for prior temporary service.

419.3 Postmaster Replacement

.31 Definition. Postmaster Replacements are non-career hourly rate employees with a limited term appointment who are employed as a relief or leave replacement during the absence of a postmaster in an EAS A through EAS 15 post office.

.32 Salary Grade. Appointments as a Postmaster Replacement are made two grades below the established grade of the Postmaster whom they relieve. At an EAS A-E offfice, they are employed as an EAS 3.

.33 Rate of Pay

.331 A Postmaster Replacement is paid on an hourly basis for work performed in accordance with the rates established in the temporary employee salary schedule.

.332 A Postmaster Replacement is not entitled to the non-bargaining cost-of-living adjustment (COLA). Time served is not creditable toward step increases. Upon conversion to a career position, the employee begins earning creditable service for step increases, when applicable, but does not receive credit for prior temporary service.

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420 Wage Administration Policy for Bargaining Unit Employees

421 General Principles and Terms

421.1 Scope

This subchapter establishes the conditions and procedures for setting the salaries for Postal Service employees who are covered by collective bargaining agreements. Note:

a. Consistency with Agreements. It is not the intent of these instructions to in any way amend or conflict with the provisions of the collective bargaining agreements negotiated between the USPS and officially recognized employee organizations. The applicable provisions of a collective bargaining agreement shall control in the event of any conflict with this Part.

b. Categorization of bargaining units. The reference table in 421.7 provides a categorization of bargaining unit employees.

c. Employee Classifications. Employee classifications for bargaining unit employees appear in 432.111.

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421.2 Objectives

The principal objectives of the wage administration policy are:

a. To provide uniform compensation rules and practices which are consistent with the provisions of the bargaining unit agreements for the establishment of wage rates for employment, reassignment, promotion, and other changes in the pay status of bargaining unit employees.

b. To provide for effective administration of salary expenditures.

421.3 Responsibilities

.31 Assigning Positions to Salary Schedules. Under the authority of the SAPMG for E & LR, the Headquarters Office of Organizational Requirements (in coordination with Labor Relations) is responsible for determining the appropriate salary schedule for each position covered by subchapter 420. Note:

a. A position is the aggregate of all the current duties and responsibilities contained in a work assignment made by a supervisor to an employee to be performed during an employee's full working schedule and is reflected in the authorized position description.

b. The procedures for authorizing and ranking bargaining unit positions appear in subchapters 230 and 240.

c. Each baragaining unit position is assigned to one of the authorized salary schedules based upon the established categories listed in the table in 421.7.

.32 Setting Salaries. The appointing officer has primary responsibility for setting the salary of an employee according to the guidelines for the appropriate salary schedule. Higher level approval is required when appropriate or when specified. Specifically:

a. For the special PS schedule employees in the Headquarters Operating Services Division and Rockville Support Services Branch, salaries are subject to approval of the APMG for Procurement and Supply Department.

b. For bargaining unit nurses, salaries are subject to the approval of the appointing officer's superior.

421.4 Definitions

.41 Appointments

.411 Career Appointment—a new hire for an appointment without time limit requiring the completion of a probationary period which confers full employee benefits and privileges. The term applies to (a) new employees, (b) former employees who are being reinstated, (c) employees tranferring from Federal agencies, and (d) in certain cases, from one collective bargaining unit to another.

.412 Temporary Appointment—a new hire for a time-limited appointment; does *not* apply to bargaining unit employees. Also called Casual Appointment.

.413 Appointment to Additional Position. Applies to cases of dual employment, as described in 422.5 when an existing employee is appointed to one or two additional positions.

.42 Assignments

.421 Permanent Assignment—simply called assignment; a set of specific duties at a specified location in a specified schedule related to an employee's position description. For Security Police Officers, an individual preferred schedule consists of a desired tour and non-scheduled days at a work facility.

.422 Temporary Assignment—the assignment of an employee for a short period of time to perform duties and responsibilities other than those specifically set forth in his position description when a formal personnel action is not required.

a. Employees assigned to higher-level duties may receive higher-level pay (see 422.4).

b. Employees assigned to lower-level duties continue to receive their regular pay.

c. For Security Police Officers, temporary assignment is a transfer to another schedule (tour and days off), work site, or work facility.

.43 Change Actions

.431 Promotion—the permanent assignment of an employee (a) to an established position having a higher grade than the position to which the employee was previously assigned in the same schedule or (b) to a position with a higher than equivalent grade (see 418.1) in another schedule.

.432 Reassignment—the permanent assignment or relocation of an employee (a) to another established position with the same grade in the same schedule or (b) to a position with an equivalent grade (see 418.1) in another schedule, also called *lateral assignment* or

simply *lateral.* For Security Police Officers, reassignment is a permanent transfer to another work facility.

.433 Demotion—the permanent assignment due to unsatisfactory performance of an employee (a) to an established position with a lower grade in the same schedule or (b) to a position with a lower than equivalent grade (see 418.1) in another schedule also called *disciplinary reduction.*

.434 Voluntary Reduction—the permanent assignment at the request of the employee (a) to an established position with a lower grade in the same schedule or (b) to a position with a lower than equivalent grade (see 418.1) in another schedule.

.435 Management-Action Reduction—the permanent, *nondisciplinary* and *involuntary* assignment of an employee for reasons such as changes in job ranking criteria and job elimination (a) to an established position with a lower grade in the same schedule or (b) to a position with a lower than equivalent grade (see 418.1) in another schedule. Rate retention provisions apply in cases of this type of reduction (see 421.5).

.44 Salary Terms

.441 Basic Salary—the annual, daily, or hourly rate of pay provided by the applicable salary schedule for the employee's assigned position, *excluding* COLA (see 421.455) and special pay.

.442 Base Salary—the same as basic salary except that it *includes* COLA and *excludes* special pay.

.443 Compensation—the same as basic salary except that it *includes* COLA and special pay.

.444 Special pay—pay and allowances, as for additional and premium hours. See 430 for special pay provisions. Specific references follow:

a. Overtime pay (see 434.1)
b. Night differential (see 434.2)
c. Sunday premium (see 434.3)
d. Holiday worked pay (see 434.5)
e. Out-of-schedule overtime (see 434.6)
f. PDC on-call pay (see 426.114)
g. Territorial cost-of-living allowance—TCOLA (see 439)
h. Other allowances, as for uniforms and equipment.

.445 Grade—the numerical salary standing and salary range in the salary schedule assigned to a position; also called *salary grade.*

.446 Equivalent Grade—the grade in one salary schedule which is most similar in salary range to the grade in another salary schedule whether bargaining or non-bargaining (see 418.1). See 418 for salary adjustment rules for assignments to a different salary schedule.

.447 Step—the number assigned to specific salary rates within a grade of a salary schedule. *Maximum step* is the highest schedule step for a position.

.448 Salary Standing—the step rate or percentile with respect to the appropriate salary schedule.

.449 Red-Circle Amount—the dollar portion of an employee's salary which is in excess of the maximum salary of the grade and which results from the saved rate provisions described in 421.52.

.45 Salary Increases

.451 General Increase—a general wage increase in the step rate or salary range which applies to all employees within the specified category.

.452 Step Increase—an advancement from one step to the next within a specific grade of a position and dependent on satisfying certain performance and waiting period criteria (see 422.3); also called *periodic step increase.*

.453 Equivalent Increase—any increase *other than* a general increase, a periodic step increase, a quality step increase, or an incentive award which results in a total increase equal to or greater than the amount of one step increment in the employee's position and grade. Note:

a. When moving between salary schedules, there may be an equivalent increase if the total amount of an increase exceeds a step increment in the employee's former position.

b. A new waiting period begins on the effective date of an equivalent increase whenever it is granted during the waiting period required to attain the next higher step.

.454 Quality Step Increase—a step increase granted before expiration of required waiting periods in recognition of extra competence.

.455 Cost-of-Living Adjustment (COLA)—an increase based on an increase in the cost of living and specified by bargaining unit agreements.

421.5 Rate Retention Provisions

.51 Protected Rate

.511 Explanation. An individual employee who is assigned to a lower-grade position will have a protected rate (i.e., will continue to be paid the salary he received in the previous higher-grade position, augmented by any general increases granted (see also 422.13), for a specified period of two calendar years) providing all of the following conditions are satisfied:

a. The employee is serving under a career appointment.

b. Reduction in salary standing is not disciplinary (for personal cause) or voluntary (at the request of the employee).

c. The employee served for 2 continuous years immediately preceding the effective date of reduction in a position with a salary standing higher than that to which reduced.

d. Salary in the higher salary standing was not derived from a temporary promotion, temporary appointment, or temporary assignment.

e. Reduction in salary standing is not caused by a reduction in force due to lack of funds imposed on the Postal Service by outside authority or curtailment of work. For this purpose, curtailment of work does not include reduction in revenue unit category of any post office or reduction in route mileage on a rural route.

f. Employee's performance of work at all times during such period of two calendar years was satisfactory.

.512 Rate Determination. The basic salary of an employee entitled to a protected rate will be *the lowest* of the following:

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a. The employee's basic salary at the time of reduction.

b. An amount which is 25 percent more than the maximum basic salary for the new grade (i.e., the grade to which reduced).

c. The basic salary in the *lowest* salary standing which the employee held during the 2 years immediately preceding reduction in salary standing, augmented by each step increase he would have earned in such salary standing. (*Note:* For rural carriers serving heavy duty routes, the existing basic salary includes additional heavy duty compensation up to 40 hours.)

.513 Duration. An employee entitled to a protected rate retains the protected rate, augmented by general increases, for two calendar years from the effective date of the protected rate. If, before the two years expires, the employee is again reduced in salary standing:

a. A new protected rate period of two calendar years begins.

b. The new protected rate is redetermined according to the rule in 421.512 in relation to the salary standing following the latest reduction.

.514 Termination. Rate protection ceases at the beginning of the pay period following a determination that an employee is no longer entitled to protection for any one of the following reasons:

a. A break in service of 1 work day or more.

b. Reduction to a lower salary standing (1) for disciplinary reasons or (2) at employee's own request.

c. Promotion or other advancement of employee to a higher grade or salary range in the same schedule, or to a position with a higher than equivalent grade in another schedule, above the protected rate.

d. Compensation of the employee is changed for any reason, other than by a general increase, to a basic salary equal to or higher than the protected rate.

.515 Effect on Other Compensation. Rate protection affects other compensation as follows:

a. Promotion Rules. In applying the promotion rules, the existing basic salary is the basic salary the employee would have received except for the protected rate.

b. Rural Routes. Equipment maintenance allowances on rural routes are paid in relation to the documented route to which the carrier is assigned.

.516 Documentation. Form 50. *Notification of Personnel Action,* is used to notify an employee entitled to rate retention of a change to a lower grade or salary standing. It contains a reference under the remarks section to 421.5 as authority for the amount and duration of the rate retention. Form 50 is also used to notify employee of expiration of rate retention status.

.517 Step Increases. An employee with a protected rate will continue to receive step increases in the grade to which reduced. However, under no circumstances can these step increases exceed the maximum step of the lower grade.

.52 Saved Rate

.521 Explanation. Employees with a saved rate will continue to be paid the salary they received in the previous higher grade position, augmented by any general increases occuring while the saved rate is in effect. A saved rate differs from a protected rate in that it continues for a indefinite period, subject to the conditions set forth below (see 421.522 through 421.526); and occurs in several different circumstances, as follows:

a. An employee is given a *permanent, nondisciplinary,* and *involuntary* assignment to a lower grade due to a management action such as a change in job ranking criteria affecting more than one position under the same job description. In this case, saved rate means that the employee continues to receive the salary of the higher-grade position.

b. Management action effects a general increase which, when added to an employee's salary, produces a salary above the maximum rate for the grade. In this case, saved rate means that the amount of the general increases is added to the employee's salary and the employee continues to receive the new salary even though it is above the maximum for the grade.

.522 Red-Circle Amount. The red-circle amount is the dollar portion of an employee's salary which is in excess of the maximum salary of the grade. An employee continues to receive a red-circle amount as long as he is in saved rate status. Note:

a. Red-circle amount results from saved rate only. It does *not* result from protected rate.

b. If an employee who received a red-circle amount (under section C, Special Rule, Pay System for Employees covered by the Collective Bargaining Agreement of November 18, 1970) was subsequently promoted and later returned to the former position, the red-circle amount will be restored.

.523 Duration. The employee retains the saved rate for as long as he holds a position in the same or higher grade for which the maximum schedule rate is below the saved rate.

.524 Termination. Saved rate is terminated for any of the following reasons:

a. A break in service of one work day or more.

b. Demotion or voluntary reduction.

c. Promotion resulting in a salary equal to or above the saved rate.

.525 Effect on Promotion. If the employee has a saved rate due to assignment to a lower grade position and is assigned to a different position, the assignment is not a promotion for purposes of pay adjustment unless the assignment is to a position with a grade higher than the grade on which the saved rate was established.

.526 Documentation. Form 50, *Notification of Personnel Action,* is used to notify an employee of a saved rate status.

.53 Saved Grade

.531 Explanation. A bargaining unit employee whose job is eliminated (e.g., an employee who is displaced from a higher-grade position due to technological or mechanization changes) and who cannot be placed in a job of equal grade shall receive a saved grade. Saved grade applies to all bargaining unit employees *except* the following:

a. Employees of the Tool & Die Shop at the Mail Equipment Shop in Washington, D.C. (see 423.1).

b. Employees in Headquarters Operating Services Division and Rockville Support Services Branch (see 423.2).

c. Employees in Research & Development Department Schedule bargaining unit (see 427).

d. Employees under the Florida Nurses Association Agreement (see 425.1).

e. Employees in the Security Force.

.532 Duration and Termination. The saved grade will be in effect for an indefinite perod of time subject to the conditions below:

a. To continue to receive a saved grade, an employee must bid or apply for all vacant jobs in the saved grade for which qualified.

b. If the employee fails to bid or apply, the employee will lose the saved grade status immediately.

c. ADPC and PDC collective bargaining agreements require that, in order to retain the saved grade, the employee bid or apply for reassignment to his former grade or to any position at a grade between that of his former grade and present grade.

.533 Step Increases. An employee with a saved grade will continue to receive step increases in the saved grade. However, under no circumstances, can these step increases exceed the maximum step of the saved grade (see 421.447).

421.6 Changes in Compensation Following Review or Audit. A change in compensation required after review or audit of a position is made at the beginning of the pay period following the date of the decision to change the evaluation of the position or its identification.

421.7 Reference Table

The table below outlines the categories and subcategories of bargaining unit employees, their salary schedules, and rate schedule codes and provides references to appropriate exhibits and explanations.

Category	Salary Schedule	Range	Rate Schedule Code	Reference
a. General PS Schedule				
(1) Clerks, city carriers, mail handlers, special delivery messengers, vehicle service drivers, and post office maintenance and vehicle maintenance employees.	PS	Grades 1—11	P	422
(2) Employees at mailbag depositories, stamped envelope units, repair centers, supply centers, and mail equip-shops (except Tool & Die Shop).	PS	Grades 1—8	P	422
(3) Security police officers.	PS	Grades 5—6	P	422
b. Special PS Schedules				
(1) Mail Equipment Shop. Tool & Die Shop, Washington, D.C.	Special PS (TDS)	Grades 4 & 6—9	P	423.1
(2) Headquarters Operating Service Division	Special PS	Grades 1—9	K	423.2
c. Rural Carrier (RC) Schedules				
(1) Evaluated (Heavy Duty Schedule	HD	Hours 12—48	R	424
(2) Mileage Schedule (RCS)	RCS	Miles 6—140	R	424
d. Nurse Schedules				
(1) Florida Nurses			G	425.1
(2) National Postal Professional Nurses			G	425.2
e. MIS Schedules				
(1) PDC	PDC	Grades 6—22	N	425.1
(2) ADPC	ADPC	Grades 8—21	D	426.2
(3) Data Automation Division, WASC	DAD	Grades 6—22	W	426.3
f. Research & Development	RDS	Grades 1—25	H	426.3

422 General PS Salary Schedule

422.1 Salary System

.11 Salary Schedule

The general Postal Service (PS) salary schedule applies to all PS employees who are *not* covered by special agreements or schedules (see part 423). General PS employees may be grouped according to the range of grades assigned to positions:

a. Grades 1 to 11 (i.e., all PS grades)—clerks, city carriers, mail handlers, vehicle service drivers, special delivery messengers, post office maintenance service and vehicle maintenance employees.

b. Grades 1 to 8—employees at mailbag depositories and repair centers, stamped envelope agency, supply centers, and mail equipment shop units (except Tool & Die Shop—see 423.1).

c. Grade 5 and 6—Security police officers.

.12 Basis of Rates

.121 Annual Rates for Full-Time Employees. The basic annual salaries for the grades and steps of the schedule are established for full-time employees on the basis of a work schedule of 2080 hours per annum.

.122 Hourly Rates for Part-Time Employees. The basic hourly rates of the schedule are determined as follows:

a. For part-time regular schedule employees, divide the appropriate annual rate by 2080 hours.

b. For part-time flexible schedule employees, divide the appropriate annual rate by 2008 hours.

.13 Cost of Living Adjustment (COLA)

In addition to their basic annual or hourly rate, all bargaining unit employees also receive such COLA as is provided by their applicable collective bargaining agreement.

.14 Setting Salaries

The appointing officer has primary responsibility for setting salaries of PS employees according to the guidelines in part 422.

.15 Employee Classifications.

a. The bargaining-unit classifications in 432.111 which apply to PS employees are:

- *(1)* Full-time regular
- *(2)* Part-time regular
- *(3)* Part-time flexible

b. There are two categories of employees in the Security Force bargaining units:

- *(1)* Full-time
- *(2)* Other

422.2 Change Action Pay Rules

.21 Career Appointment

An employee new to the Postal Service hired into a PS position with a career appointment is to be paid the rate for the first step of the grade of the position for which hired, except as specified below:

a. Reinstatement. A former postal employee may be placed in the first step which is less than one full step above the highest former basic salary (augmented by any general increases since the date of separation)—providing the new basic salary does not exceed the maximum step of the grade.

b. Congressional Service. A new employee who has 2 or more years of service in the legislative branch and was paid by either house of Congress may be placed in the first step which does not exceed the highest previous basic salary (augmented by statutory pay increases).

c. Transfer of Function. If a postal installation assumes the function of a Federal agency, the employee who performed the function may be transferred with the function. If so, the employee is placed in the first step which is less than one full step above the pretransfer basic salary—providing the basic salary does not exceed the maximum of the grade.

d. Veteran Preference Eligible. An employee whose service seniority is established pursuant to the appropriate entrance register standing (i.e., veteran preference eligible) is placed in the step attained by the lower eligible, with the same anniversary date for step increases as the lower eligible. (See also subchapter 240 of Handbook P-11, *Personnel Operations.*)

.22 Additional Appointment.

If an employee is appointed to an additional position, the compensation for the position is determined acording to the rules for career appointment in 422.21 above. See 422.5 for additional information about dual employment.

.23 Promotion Within the PS Schedule

.231 Basic Rules

a. If new grade is not more than two grades above former grade: new salary is fixed at the lowest step which exceeds former basic salary by an amount not less than the equivalent of two full step increases in the former grade.

b. If new grade is more than two grades above former grade: new salary is fixed at the lowest step which exceeds the former basic salary by an amount not less than the equivalent of three full step increases in the former grade.

.232 Supplemental Rules

a. Between Steps If the amount calculated (according to 422.231 above) falls between steps of a new grade, it is further increased to the next higher step in the new grade.

b. Maximum Step. Employee is placed in maximum step for new grade if there is no other step which provides the specified increases.

c. Above Maximum Step. The employee's existing basic salary will be retained if it exceeds the maximum step of the new grade.

d. Protected Rate. In applying the rules in 422.231 to an employee whose salary is protected under the provisions of 421.51 the employee's existing basic salary is the salary the employee would be receiving except for rate protection.

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e. Saved Rate. An employee with a saved rate, established in accordance with 421.52 receives the increase in 422.231; and the new salary is a saved rate if it is above the maximum rate of the new grade.

f. Saved Grade. An employee with a saved grade, established in accordance with 421.53, does not receive a promotional increase—unless the promotion is to a position with a grade higher than the saved grade.

g. Rule Choice. The installation head, or Inspector-in-Charge for Security Police Officers, may determine an employee's salary under rules for appointment in 422.21 instead of under rules for promotion increase—when more favorable to the employee.

h. Exclusions. Salary received under limited appointments, temporary promotions, or as compensation for service while temporarily assigned to a higher-level position cannot be used as the *highest previous salary* when determining the employee's new salary.

.24 Reassignment

See 421.432 for definition of reassignment. An employee's step and salary is not changed as a result of reassignment. Note:

a. A change from a *part-time position* (flexible or regular) to a *full-time position* (or reverse) in the same grade of the PS Schedule is a reassignment—not a promotion; the employee retains the step attained and the existing basic annual salary, including any red circle amount.

b. A part-time regular employee must be converted to a part-time flexible before becoming a full-time regular unless that bargaining unit craft does not have an employee classification of part-time flexible.

.25 Demotion

.251 Step Assignment. The step assignment rule depends on whether the lower grade is one which the employee formerly held:

a. To Former Lower Grade. The employee is assigned to the step in the lower grade which he would have attained if service in the lower grade had been continuous.

b. To New Lower Grade. The employee is assigned (1) to the step in the lower grade consistent with length of service or (2) to any higher step in the lower grade which is less than one full step above that of the higher grade—providing compensation does not exceed the maximum for the grade.

.252 Step Increase Credit. Any partial credit toward the next step increase earned since the date of the last equivalent increase is retained.

.253 Rate Retention. Rate retention provisions do *not* apply to changes to a lower grade which are disciplinary.

.26 Voluntary Reduction

.261 Step Assignment. The step assignment rules depend on whether the lower grade is one which the employee formerly held:

a. To Former Lower Grade. The employee is assigned to the step in the lower grade which he would have attained if service in the lower grade had been continuous. When an employee voluntarily requests change to a position formerly occupied at a lower level, the salary will be adjusted so the next periodic step increase will not occur prior to the date on which it would have been due if his service had been continuous in the lower level. If granting credit earned in the higher level position toward the next periodic step increase would cause the employee to advance to the next higher step earlier than he would have by continuous service, then the change to lower level will be processed to the next lower step in the lower level. Partial credit toward the next step increase earned since the date of the last equivalent increase will be retained.

b. To New Lower Grade. The employee is assigned (1) to the step in the lower grade consistent with length of service or (2) to any higher step in the lower grade which is less than one full step above that of the higher grade—providing compensation does not exceed the maximum for the grade.

.262 Step Increase Credit. Any partial credit toward the next step increase earned since the date of the last equivalent increase is retained.

.263 Rate Retention. Rate retention provisions do *not* apply to changes to a lower grade which are voluntary (i.e., at request of employee).

.27 Management-Action Reduction

.271 Step Assignment. The step assignment rules depend on whether the lower grade is one which the employee formerly held:

a. To Former Lower Grade. The employee is assigned to the step in the lower grade which he would have attained if service in the lower grade had been continuous.

b. To New Lower Grade. The employee is assigned (1) to the step in the lower grade consistent with length of service or (2) to any higher step in the lower grade which is less than one full step above that of the higher grade—providing compensation does not exceed the maximum for the grade.

.272 Step Increase Credit. Any partial credit toward the next step increase earned since the date of the last equivalent increase is retained.

.273 Rate Retention. Rate retention provisions which apply depend on the management action which resulted in the employee's grade reduction, as follows:

a. Protected Rate. The employee will continue to receive the salary he received in the higher grade for 2 calendar years (1) if the grade of the position is reduced due to a management action such as a change in job ranking criteria which affects the grade of *only one* position and (2) if the employee occupied the position at the higher grade for 2 consecutive years preceding the effective date of the reduction. See also 421.51.

b. Saved Rate. (1) An employee will have a saved rate resulting in a red circle amount if the grade of his position is reduced due to a management action such as a change in job ranking criteria which affects the grade of *more than one* position under the same job description. (2) If an employee who received a red circle amount was subsequently promoted and later returned to the former position through no fault of his own, the red circle amount will be restored. See also 421.52.

c. Saved Grade. A bargaining unit employee is entitled to saved grade if he is assigned to a lower-grade position because of a management action which eliminated the position (e.g., job elimination due to technological and mechanization changes). See also 421.53.

422.3 Step Increases

.31 **Eligibility Requirements.** Eligibility for a *periodic* step increase is based on four conditions. An employee must have:

a. Received and currently be serving under a career appointment.

b. Performed in a satisfactory or outstanding manner during the waiting period.

c. Not received an equivalent increase (see 421.453) during the waiting period.

d. Completed the required waiting period according to the table below.

From step	To step	Waiting Period
1	2	52 weeks
2	3	44 weeks
3	4	44 weeks
4	5	44 weeks
5	6	44 weeks
6	7	44 weeks
7	8	34 weeks
8	9	34 weeks
9	10	26 weeks
10	11	26 weeks
11	12	24 weeks

.32 Creditable Service

.321 Postal Service. Except as provided in this section, credit for advancement for step increases may be earned only by career employees in pay status on the rolls of the Postal Service. Note:

a. Service Week. In computing the required waiting period, each full service week beginning at 12:01 a.m., Saturday and ending at 12 midnight the following Friday is creditable.

b. Leave Without Pay (LWOP). Periods of LWOP of less than 13 weeks for which no step deferment is made are included with paid service in computing the waiting period of service (see 422.33).

c. Prior Service. Employees reinstated or reemployed to a career position within 52 weeks of separation are allowed credit (not in excess of 52 weeks) for prior service providing:

(*1*) An equivalent increase was not received at the time of reinstatement or reemployment.

(*2*) The prior service was not under a casual or temporary appointment.

.322 Military Duty. An employee who returns to postal duty following a separation or leave for military duty receives credit for the period of military duty as if duty with the Postal Service had been continuous (see 517).

.323 Injury Compensation. An employee on official absence due to an injury compensable under rules of the Office of Workers' Compensation Programs (OWCP) receives credit for the period of absence as if duty with the Postal Service had been continuous.

.324 Union Officials. An employee on LWOP to devote full or part-time to a Union signatory to the National Collective Bargaining Agreement or to a Security Force Agreement is to be credited with step increases as if he had been in a pay status (see 514).

.33 Leave Without Pay (LWOP)

.331 When an employee has been on LWOP for 13 weeks or more and was not on military furlough, on the rolls of the Office of Workers' Compensation Programs, or on official union business, the scheduled date for the employee's next step increase will be deferred as follows:

Period of LWOP (Weeks)	Deferment Period (Pay Periods)
0 to less than 13	No deferment.
13 to less than 26	7.
26 to less than 40	13.
40 to less than 52	20.
52	26.
More than 52	One pay period for each 2 weeks of LWOP.

.332 For periods of LWOP which encompass an entire pay period, the full charge of 80 hours is applied. For partial pay periods, absence from scheduled service on a day is counted as one calendar day. Only whole days of LWOP are counted. Fractional days on which the employee works and takes LWOP are *not* counted in calculating the total LWOP.

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.34 Performance Determinations

.341 Responsibility. Installation heads, or Inspectors-in-Charge for Security Police Officers, and their subordinate supervisors have joint responsibility for understanding the kind of work performance expected of employees. Supervisors must (a) keep informed of the deficiencies and proficiences of employees, and (b) provide appropriate commendation, counseling, or assistance on a continual basis—rather than only at the time of a step increase rating.

.342 Criteria. Performance ratings are based on such job-related factors as reliability, work habits, quantity and quality of work performed, cooperation with other employees, and attendance. Criteria for the three categories of performance ratings follows:

a. Outstanding (O). Performance and achievement in terms of productive effort, proficiency and significant contributions to the Postal Service which are well above the established norm. (Note: An outstanding employee may be considered for a quality step increase or superior accomplishment award.)

b. Satisfactory (S). Performance at an acceptable level, involving such qualities as reliability, cooperation, and competence in meeting the normal requirements of a position. (Note: This rating applies to the majority of employees whose performance may range from minimum to very good to above average in several respects of their work.

c. Unsatisfactory (U). Employees who repeatedly and/or continually fail to meet the essential requirements of their position, involving such characteristics as lack of cooperation, poor attendance, and failure to produce acceptable work even after they have been counseled on deficiencies. (Note: When an advance written notice of charges has been given to an employee on account of unsatisfactory service, any step increase otherwise normally due shall be withheld pending a final decision on the merits of the charges.)

.35 Processing a Step Increase

.351 Notification of Increase. At least 45 days prior to the effective date, the PDC provides installations with two copies of a report listing those employees who have completed the required waiting period for advancement to the next step. LWOP hours, when sufficient to require withholding of a step increase (see 422.33), are printed on the listing.

.352 Supervisor's Appraisal. When supervisors receive the step increase notice, they must:

a. Evaluate the employee against performance criteria (see 422.342) and make a judgment about the employee's service during the waiting period.

b. Check the appropriate performance code—O, S, or U, write the effective date, and sign each line.

c. Annotate the listing so that, upon receipt at the PDC, any required adjustments in the effective date of deferred step increases may be entered in the file.

d. Forward both copies of the listing to the installation head.

e. Advise the employee of the evaluation.

.353 Dispostion. Upon approval by the installation head, or Inspector-in-Charge for Security Police Officers, the first copy of the listing is forwarded to the PDC for processing and the second copy retained by the installation or the Inspection Service Division for Security Police Officers:

a. The Form 50 is generated automatically by the PDC which distributes the copies to the installation, or the Inspection Service Division for Security Police Officers, maintaining the employee's official personnel folder.

b. On receipt by the installation, or the Inspection Service Division for Security Police Officers, the original is issued to the employee.

.354 Approved Increase. Employees whose step increase is approved receive a copy of a Form 50 and a notification of the Form 1223, *statement of earnings and deductions,* for the pay period in which the increase is effective. The effective date of the increase is the beginning of the first pay period following completion of the waiting period.

.355 Withheld Increase. Employees whose step increase is withheld receive, as far in advance of the withholding date as possible, a copy of a Form 50 *and* written notice of these facts by the installation head, or the Inspector-in-Charge for Security Police Officers, or designee. (Note: Withholding of a step increase should *not* be used as punishment for overt acts which should be handled under the disciplinary procedures.)

a. In cases of *excessive LWOP,* the revised effective date depends on the amount of LWOP. See 422.33 for deferral periods.

b. In cases of *unsatisfactory performance,* a 7-pay period re-determination period follows the date of withholding. During this period, the supervisor should encourage and assist the employee to overcome the deficiencies, provide needed training, consider reassignment to more suitable work, and/or other appropriate personnel action. The PDC includes the employee's name on a listing 45 days in advance of the revised effective date.

(*1*) If the employee's service is satisfactory at the end of the additional waiting period, the step increase is approved (see 423.35).

(*2*) If the employee's service is not satisfactory at the end of the additional waiting period, the step increase may be withheld for another re-determination period or disciplinary measures under the collective bargaining agreement may be taken.

.36 Simultaneous Personnel Actions. If an employee is eligible for a step increase in the assigned position and is being reassigned or promoted to another position on the same date:

a. The actions are effected simultaneously in a manner which provides maximum benefit to the employee.

b. If the assignment change involves an increase in compensation which is greater than the increase an employee could obtain by a step increase in the former position, the employee is given the step increase before compensation is adjusted to the appropriate step in the new position.

422.4 Higher-Level Assignments

.41 Definitions

A higher-level assignment is a temporary assignment to a ranked higher-grade position, whether or not such position has been authorized at the installation. The sub- categories of such an assignment are:

a. Short-Term Temporary Assignment. This means that an employee has been on a temporary assignment to a higher-level position for a period of 29 consecutive work days or less at the time he takes any annual or sick leave. The temporary assignment must be resumed upon return to work. All short-term assignments are automatically cancelled if replacements are required for employees temporarily assigned to higher-level positions.

b. Long-Term Temporary Assignment. This means that an employee has been on temporary assignment to the higher-level position for a period of 30 consecutive work days or longer before he takes any annual or sick leave. The temporary assignment must be resumed upon return to work.

.42 Written Management Order

Any employee, except those covered in 423.2, who is temporarily assigned to higher-level work is given Form 1723, *Assignment Order,* stating beginning and approximate termination, and directing the employee to perform the duties of the higher-level position. The written order is accepted as authorization for higher grade pay. The failure of management to give a written order is not grounds for denial of higher-level pay if the employee was otherwise directed to perform the duties of the higher-level position.

.43 Rate of Pay

.431 Part-Time Flexible Employee. This type of employee remains a part-time flexible employee while temporarily assigned to a higher-level position. The employee neither has nor acquires a regular work schedule and is paid at the hourly rate for the higher-level position.

.432 Regular Employees. Rules for pay for temporary higher-level work depend on the factors below:

a. Assignment in PS Schedule. A PS employee who is temporarily assigned to higher-level work in the PS schedule is paid at the higher level for time actually spent on such job. The employee's higher-level rate is determined as if he had been promoted to the position. See promotion rules in 422.23.

b. Assignment to Other Schedule. The rate of pay for service in a high-level position in other than the PS Schedule is determined in accordance with promotion rules for the salary schedule in which the higher-level position is placed. See rules for assignment to a different salary schedule in Subchapter 410.

c. Service in Several Positions. If higher-level service is performed in more than one position in a pay period, the appropriate rate for each salary level is determined and paid in accordance with the actual time worked at each level.

d. Annual and Sick Leave Pay. Leave pay for employees temporarily assigned to a higher-level position depends on the term of the assignment as follows:

(*1*) Short-Term Temporary Assignments (See 422.41a). These employees, except those covered by 423.1, are entitled to approved annual and sick leave paid at the higher-level rate for a period *not to exceed three days* for each occurrence.

(*2*) Long-Term Temporary Assignments (See 422.41b). These employees are entitled to approved annual and sick leave paid at the higher-level rate for the full period of leave.

e. Holiday Leave Pay. A full-time employee is paid for the holiday at the rate of the higher-level—provided that he performs higher-level service both on the workday preceding and on the workday following the holiday. Otherwise, the employee is paid for the holiday at the rate appropriate for his regular position.

f. Holiday Worked Pay. If an employee performs authorized service at the higher-grade on a holiday, the employee is paid at the rate for the higher-grade position, in addition to holiday leave pay.

.44 Adjustments and Increases

.441 Cost-of-Living Adjustment (COLA). Bargaining unit employees temporarily assigned to higher-grade positions under the PS Schedule continue to receive the cost-of-living adjustment during such periods.

.442 Step Increase Credit. An employee temporarily assigned to a higher-grade bargaining unit position is entitled to credit toward the next step increase for service in the higher grade with higher-grade pay which is continuous to the date of any subsequent promotion.

.443 Effect on Promotion. If subsequently promoted, the employee's salary is reviewed to ensure application of the appropriate promotion rule and credit for continuous service at the higher grade if the higher-level service is continuous to the time of promotion to the higher grade. (See 422.23 for promotion rules).

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.45 Benefits

.451 Terminal Leave Payments. Terminal leave payments resulting from death are paid at the higher-grade for any employee except those covered by 423.1, who is temporarily assigned to a higher-grade position on the employee's last day in a duty status.

.452 Retirement Deductions. Retirement deductions are determined from the basic annual salary and any additional basic higher-level pay the employee is receiving for the pay period.

.453 Continuation of Pay (Injury Compensation). An employee who is eligible for continuation of pay as a result of an injury-on-duty, and who is serving in a higher-level position when injured, will receive such payments at the higher-level rate.

422.5 Dual (Multiple) Employment

.51 Explanation. Dual or multiple employment means that a current employee is appointed to an additional position(s) or a new employee is appointed to two or more positions at the same time. In at least one of the positions, the employee is employed at an hourly rate either (a) as a *part-time flexible or (b) as a part-time regular.*

.52 Salary Determination. The appropriate compensation for each new position is determined under the rules relating to appointments (see 422.21).

.53 Documentation. Separate personnel actions are effected for each position, with an estimate of the work hours to be spent in each position and compensation specified in advance for the employee's attention.

.54 Step Increases. Periodic step increases for separate positions are earned separately:

a. If dual employment is accomplished on the same day or if the employee does not receive an equivalent increase when appointed to an additional position, creditable service toward step increases in the first position is also creditable toward step increases in the subsequent position(s). In these cases, the anniversary dates for step increases in all positions are the same.

b. If an employee receives an equivalent increase when appointed to an additional position, step increases are earned separately for each position on the basis of time served in each position. Receipt of the equivalent increase in one position does start a new waiting period in the other position.

.55 Leave. The appropriate rate of compensation for annual and sick leave when taken from two or more positions in different salary grades is determined from the Form 50 affecting the assignment as follows:

a. An employee assigned for 50 percent or more of the time to the higher grade work is paid for leave at the higher grade rate of pay.

b. An employee assigned to the lower grade work for more than 50 percent of the time is paid for leave at the lower grade rate of pay.

c. If less than 50 percent of the time is spent in any one grade, the employee is paid for leave at the rate for the intermediate grade. The annual rate of compensation for annual or sick leave taken in one position is determined from the salary grade for that position.

.56 Reassignment. When an employee serving in two or more part-time positions is changed to a full-time annual rate position in the same grade as one of the occupied positions, the step is determined according to 422.24. Compensation received in unaffected additional position(s) may not be used as highest previous compensation in calculating the new salary.

.57 Promotion. When an employee is promoted to a position in a grade above the highest grade to which appointed, compensation of the highest grade is used in establishing the step according to 422.23.

422.6 Change From Rural Carrier Schedules

.61 General. The rules in this section apply to rural carriers who change to the *PS* schedule from the RC schedules. Salary rules are based on a comparison of the RC salary or compensation with steps in the PS Schedule. Relevant definitions follow:

a. *New Grade*—the grade for the new position (i.e., the position in the PS Schedule).

b. *RC Salary*—the basic salary (i.e., excluding COLA) the employee received in the RC Schedule as a rural carrier.

c. *RC Compensation*—excluding COLA, the compensation the employee received in the RC Schedule: (1) This may consist of the basic salary only. (2) When appropriate, it consists of the basic salary *plus* heavy duty compensation up to the amount provided for 40 hours.

.62 Regular Rural Carrier Changed to PS-5 or Below. Employee is placed (a) in the lowest step of the PS grade which equals the *RC salary* or (b) in the first step which exceeds the *RC salary* by less than one full step. *Note:* If the *RC salary* is above the maximum of the new grade, the employee is placed in the maximum step of the new grade.

.63 Regular Rural Carrier Changed to PS-5 or Above. Employee is placed in the lowest step of the PS grade which exceeds the *RC salary*. However:

a. The increase cannot be less than the minimum amount an employee in PS-5 would receive if promoted to the same position.

b. If the increase would place the rural carrier in a step above the step than an employee in the maximum step of PS-5 would receive on promotion to the same position, the rural carrier is placed in (1) the step which the PS employee would receive or (2) the lowest step which exceeds the *RC salary*—whichever is higher.

.64 Substitute Rural Carrier Changed to PS Position. A substitute rural carrier changed to a position in the PS Schedule is placed in Step 1 of the grade of the PS position.

.65 Return to PS Position. Employee is placed in the PS step he would have attained if PS service had been continuous—provided the *RC salary* is higher than one step below the PS step the employee would have attained. When so placed, the employee retains any partial credit earned toward the next step. *Note:* If the *RC salary* is at or below the PS step the employee would have attained, the employee's salary is based on the promotion rules in 422.23.

423 Special PS Salary Schedules

423.1 Tool & Die Shop (TDS)

.11 Salary System

.111 Salary Schedule. For employees of the Tool & Die Shop (at the Mail Equipment Shop in Washington, D.C.) a special PS salary schedule has been established. The schedule consists of Grades TDS-4, 6, 7, 8, and 9.

.112 Basis of Rates. (see 422.12)

.113 Cost of Living Adjustment. (see 422.13)

.114 Setting Salaries. (see 422.14)

.115 Employee Classifications. (see 422.15)

.12 Change Action Pay Rules

.121 Career Appointment. (see 422.21)

.122 Additional Appointment. (see 422.22)

.123 Promotion. (see 422.23)

.124 Reassignment. (see 422.24)

.125 Demotion. (see 422.25)

.126 Voluntary Reduction. (see 422.26)

.127 Management Action Reduction. The rules in 422.27 apply except as qualified below:

a. If a TDS employee is displaced from a higher-grade position due to technological or mechanization changes, the saved grade provisions in 422.273c do *not* apply.

b. However, any new job or jobs created by technological or mechanization changes are offered to employees who are capable of being trained to perform the new or changed job duties. The USPS will provide such training *on the job* for a period up to 60 days. Certain specialized jobs may require additional and offsite training. During training, the employee will maintain his normal rate of pay.

.13 Step Increases. The rules for step increases in 422.3 apply except for the following qualifications:

a. Employees in grades TDS–4, 6, 7, and 8 will be granted step increases in accordance with the waiting periods provided in 422.31d.

b. Employees in grade TDS–9 will be granted step increases on completion of a waiting period of 52 weeks of satisfactory service.

.14 Temporary Assignments.

.141 Lower-Level Assignments. An employee temporarily assigned to a lower-level position continues to be paid at the salary rate for his regular position.

.142 Higher-Level Assignments. Higher-level work is an assignment of a qualified employee to a position in the bargaining unit that is ranked at a higher level (grade) than that regularly held by the employee. The rules below apply:

a. Authorization. The employee will be given a written management order, stating the beginning and approximate termination of the higher-level assignment and directing the employee to perform the duties of the higher-level position. Such written order is authorization for the higher-level pay. The failure of management to give a written order is not grounds for denial of higher-level pay if the employee was otherwise directed to perform the duties.

b. Compensation. The employee will be paid at the higher level for the time actually spent on the job. The employee's higher-level rate is determined as if he were promoted to the position.

.15 Multiple Employment

(see 422.5)

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.16 Change From RC Schedules

(see 422.6)

423.2 Operating Services Division (OSD)

.21 Salary System

.211 Salary Schedule. A special PS salary schedule exists for the grades and steps of employees in the Operating Services Division (OSD) (at USPS Headquarters) and the Rockville Support Services Branch (RSSB) (in Rockville, MD) in accordance with the OSD/RSSB collective bargaining agreement.

.212 Basis of Rates. (see 422.12)

.213 Cost-of-Living Adjustment. (see 422.13)

.214 Determination of Salaries. The salary set by the appointing officer is subject to the approval of the Assistant Postmaster General (APMG), Procurement and Supply Department.

.215 Employee Classifications. (see 422.15)

.22 Change Action Pay Rules

.221 Career Appointment. An employee new to the Postal Service, hired into *this* PS schedule, is paid the rate for the first step of the grade except as specified below:

a. Exceptional Qualifications. If the appointing official (with approval of superior) determines that the person has exceptional qualifications, the rate of pay may be set at a higher step, not to exceed step 4 of that grade—except as provided in item b below.

b. Reemployment and Transfer. The appointing officer may set the salary of a former or current Federal civilian or Postal Service employee who is being given a career appointment:

(*1*) Either at step 1 of the grade of the position.

(*2*) Or at any step of the grade which is less than one full step above the highest basic compensation the employee previously received—but not in excess of the maximum step of the grade for the assigned position.

.222 Additional Appointment. (see 422.22)

.223 Promotion. See 421.432 for definition. See 422.23 for promotion rules *to and within* this PS schedule. For promotion *from* this PS schedule to a nonbargaining schedule, see 418.

.224 Reassignment. See 421.432 for definition. An employee's salary is *not* changed as a result of reassignment.

.225 Demotion. See 421.433 for definition. Rules for demotion *to and within* this PS schedule appear in 422.25.

.226 Voluntary Reduction. See 421.434 for definition. See 422.26 for voluntary reduction *to and within* the PS schedule. See 418 for voluntary reduction *from* the PS schedule to a non-bargaining schedule.

.227 Management-Action Reduction. See 421.435 for definition. See 418 for reduction *from* the PS schedule to a nonbargaining schedule. Rules in 422.27 for management-action reductions *to and within* the PS schedule apply to OSD/RSSB employees—except as qualified below:

a. If an OSD/RSSB employee whose job is eliminated cannot be placed in a job of equal grade, the saved grade provision in 422.273c does *not* apply.

b. Instead, the employee (1) is assigned to any available lower-level position for which he qualifies and (2) is entitled to protected rate for a period of 2 calendar years.

.23 Step Increases

All of the step increase rules in 422.3 apply to OSD/RSSB employees.

.24 Higher Level Assignments

The rules in 422.4 apply to OSD/RSSB employees—except for the provision stated in 422.42.

.25 Multiple Employment

(see 422.5)

.26 Change From RC Schedules

(see 422.6)

424 Rural Carrier (RC) Schedules

424.1 Salary System

.11 Salary Schedules. There are 6 types of rural carrier salary schedules, as follows:

a. Evaluated (Heavy Duty) Schedule—Applies to routes evaluated at 12 to 48 hours per week.

b. Rural Carrier Mileage Schedule (RCS)—Applies to routes evaluated at 6 to 140 miles per day.

c. Rural Carrier Schedule—Hourly Rate Regulars. Provides hourly rates for rural carriers under the RCS Schedule.

d. Substitute Rural Carrier Schedules—Daily Rates

(1) 5-Day Heavy Duty Schedule (40 to 48 hours per week).

(2) 5½-Day Heavy Duty Schedule (41 to 46 hours per week).

(3) 6-Day Evaluatead (Heavy Duty) Schedule (12 to 48 hours per week).

e. Substitute Rural Carriers—Hourly Rates

f. Rural Auxiliary Pay Schedule

(1) Grades 3 & 5—Annual Rates

(2) Grades 3 & 5—Hourly Rates

.12 Basis of Rates. See the USPS-NRLCA National Agreement, Article 30, Section 1 (A, B, & C).

.13 Cost-of-Living Adjustment. Regular and substitute rural carriers covered by the collective bargaining agreement receive the cost-of-living adjustments provided by the USPS—NRLCA National Agreement.

.14 Setting Salaries. The appointing officer has primary responsibility for setting salaries of rural carrier according to the guidelines in part 424.

.15 Employee Classifications. The employee classification in 432 which apply to rural carriers are:

a. Regular rural carrier
b. Substitute rural carrier
c. Auxiliary rural carrier
d. Auxiliary assistant

424.2 Change Action Pay Rules

.21 Appointment

.211 Regular Rural Carrier

a. New Hire. A person appointed as a regular or substitute rural carrier is paid at step 1 for the route, except that:

(1) A rural carrier serving *one tri-weekly route* is paid on the basis of a route one-half the length of the tri-weekly route.

(2) A rural carrier serving *two tri-weekly routes* will be paid on the basis of a route one-half the combined length of the two tri-weekly routes.

b. Conversion from Substitute. A substitute rural carrier converted to a regular carrier position is placed in the step for the route corresponding to the step he attained as a substitute.

c. Assignment Change. A present postal employee who receives an appointment as a regular rural carrier may be placed (a) in any step for the route up to the step which is less than one full step above the employee's highest previous basic salary or (b) in the maximum step which exceeds the highest previous basic salary. *Highest previous basic salary* refers to actual basic salary, excluding heavy duty compensation in excess of 40 hours, augmented by general pay increases granted. Compensation received on a temporary appointment cannot be used as the highest previous basic compensation. For crediting prior service for step increases, see 422.3.

d. Reemployment. The rule in 424.211c above applies to a former postal employee who receives an appointment as a regular rural carrier.

.212 Substitute Rural Carrier

a. New Hire. The rule in 424.211 applies.

b. Conversion from Regular. A regular carrier who is reappointed as a substitute rural carrier retains his attained step.

c. Reemployment. A former postal employee appointed as a substitute rural carrier is placed (a) in any step which is not above the highest scheduled step received by the employee in prior postal employment.

.213 Emergency Substitute Rural Carrier. Persons appointed to perform emergency service on rural routes are paid at step 1 for the route on which service is performed.

.214 Auxilliary Rural Carrier

a. A substitute rural carrier is paid at his attained step of the 40-hour evaluated (heavy duty) rate, or 42 mile RCS rate.

b. A qualified postal employee is paid at the hourly rate of pay he regularly receives.

c. If a substitute rural carrier or other qualified postal employee is not available, a non-postal employee may be used as an Auxiliary Rural Carrier. Such auxiliary rural carrier time (Designation 77) is paid, for hours actually worked, at the attained step of the Grade 5, Hourly Rate, Rural Auxiliary Pay Schedule.

.215 Auxiliary Assistant. Where rural auxiliary assistance has been approved, the postmaster may contract qualified persons at the lowest obtainable rate on the Rural Auxiliary Pay Schedule, up to the hourly rate for step 1 of Grade 5 at CAG A-J offices, and step

1 of Grade 3 at CAG K and L offices. The rate must not be less than the national minimum hourly rate.

.22 Reassignment From PS Schedule

.221 A postal employee reassigned from a position under the PS schedule to a rural carrier position is placed (a) in the step of the RC schedule which equals the employee's basic salary of (b) in the first step for the route which exceeds the employee's former basic salary be less than one full step, or (c) in the maximum step if the former basic salary is above the maximum step for the route.

.222 If the route is covered by the evaluated (heavy duty) schedule, the step is determined in relation to amounts provided by that schedule, up to 40 hours; compensation for hours in excess of 40 is paid according to the step so determined.

Adjusting Pay for Route Change

.231 Change in Length of Route. Compensation of a rural carrier whose route is changed in length is placed in the same numerical step for the adjusted route which corresponds to the numerical step held prior to the change in route.

.232 Reassignment to Another Route. Compensation of a rural carrier who is reassigned to another rural route is placed in the same numerical step of the new route which corresponds to the numerical step of the old route.

424.3 Step Increase

.31 Eligibility and Procedure

Regular rural carriers and substitute rural carriers with an indefinite appointment are granted step increases in accordance with the provisions of 422.3.

.32 Adjustment in Length of Route

An increase in basic salary because of an increase in the length of route is not an equivalent increase. Therefore, a step increase is not withheld because of the increase in length of route.

424.4 Higher-Level Pay

.41 A rural carrier who is temporarily assigned to a ranked position, under a different salary schedule, is (a) first converted to the equivalent 40-hour evaluated (heavy duty) schedule rate in the attained rural carrier step and (b) then paid for higher-level service at the same attained step under the PS Schedule, as provided in 422.4.

.42 A rural carrier who normally serves a route six days a week or six days every other week, temporarily assigned to a position under a different salary schedule for five 8-hour days in a service week, is paid for the full work week without carrying the route on Saturday.

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425 Nurse Schedules

425.1 Florida Nurses

.11 Salary System

.111 Salary Schedule. Nurses covered by the Florida Nurses Association Bargaining Agreement are assigned to rate schedule code "G".

.112 Basis of Rates

a. Annual Rate. The basic annual salaries for full-time nurses, augmented by general increases provided by the bargaining unit agreement are established on a full-time basis of 2,080 hours per year.

b. Hourly Rate. Part-time flexible schedule nurses are paid an hourly basis rate of pay which is determined by dividing the established annual basic rate by 2,008.

.113 Determination of Salaries. The appointing officer (with approval of superior) has the primary responsibility for setting salaries of the nurses according to applicable guidelines.

.114 Employee Classifications. The bargaining unit classifications in 432.111 which apply to Florida nurses are full-time regular and part-time flexible. The bargaining unit classification of part-time regular does not apply.

.12 Change Action Pay Rules. Rules for change actions which apply to these bargaining unit nurses are as follows:

a. Career appointment. (See 412).
b. Promotion. See 413 for promotion rules.
c. Reassignment. (See 414).

.13 Temporary Assignments

These bargaining unit nurses are covered by the same rules as nonbargaining employees (see Part 417), except that if they are regularly assigned to a schedule between 6:00 p.m. and 6:00 a.m., they do not lose the night differential during a temporary assignment to another schedule.

425.2 National Postal Professional Nurses (Reserved)

426 Management Information System (MIS) Schedules

426.1 PDC Schedule

.11 Salary System

.111 Schedule. The basic annual salary schedule for employees covered by the Postal Data Center (PDC) collective bargaining agreement is the PDC Schedule, consisting of 8 steps, Grades 6 through 22. The basic annual salaries are augmented by general increases provided by the collective bargaining agreement.

.112 Part-time Employees. Part-time flexible and part-time regular schedule employees are paid according to 422.122 based on the schedule for PDC bargaining unit employees.

.113 Cost-of-Living Adjustment (COLA). In addition to their basic annual or hourly rate, all bargaining unit employes also receive such COLA as is provided by their applicable collective bargaining agreement.

.114 On-Call Pay. On-call pay is computed at the employee's *base salary* rate (i.e., including COLA) in minimum units of one hour. Night differential, Sunday premium, holiday premium, and overtime pay are not applicable to on-call hours. On-call pay is excluded from the definition of *basic salary* in 421.441.

.115 Employee Classifications. The bargaining unit classifications in 432.111 which apply to PDC employees are *full-time regular, part-time flexible,* and *part-time regular.*

Note: Casual (see 432.12a) is a nonbargaining unit employee classification. Thus, casuals at the PDC are *not* in the bargaining unit.

.12 Change Action Pay Rules

.121 Career Appointment. A new employee to the Postal Service hired into the PDC schedule with a career appointment is paid the minimum rate for the grade (see 422.21).

.122 Promotion. See 421.431 for definition of promotion. Rules for promotion *to or within* the PDC schedule appear below.

a. Promotion Increase. A promoted employee will receive an increase in basic salary in accordance with promotion rules in 422.23.

b Effect of Saved Rate. The new salary may not exceed the maximum of the new grade unless, on the day immediately preceding the effective date of the promotion, the employee has a saved rate including a red circle amount (see 421.52). In such case the new salary may exceed the maximum of the new grade by an amount not greater than the dollar amount of the red circle, subject to termination of rate retention. See 421.514.

.123 Reassignment. See 421.432 for definition of reassignment. An employee's salary is not changed as a result of reassignment within the PDC schedule. For reassignment to non-bargaining unit salary schedules, see 418.

.124 Demotion. See 421.432 for defintion and general regulation for demotion. See 422.25 for demotion to and within the PDC Schedule. For demotion to a non-bargaining unit salary schedule, see 418.

.125 Voluntary Reduction. See 421.434 for definition. See 422.26 for voluntary reduction to and within the PDC schedule, See 418 for voluntary reduction to a nonbargaining unit schedule.

.126 Management-Action Reduction. In this case of a nondisciplinary and involuntary reduction, the rate retention provisions below apply.

a. Saved Rate. The employee will retain his salary and remain eligible for any in-grade salary increases for which he otherwise would have been eligible. The employee will continue in this status until such time as he fails to bid or apply for assignment to a vacant, established position (a) in the former grade or (b) in a grade between that of the former grade and the new grade within the same PDC—providing acceptance of the vacant position does not result in any loss in salary. The PDC notifies the employee of any vacant position for which he is or may be qualified. Failure to qualify for the position does not result in the loss of saved rate. (See also 421.521.)

b. Saved Grade. For saved grade rules due to technological or mechanization changes, see 421.53.

.13 Step Increases. The rules for granting step increases in 422.3 apply to PDC bargaining unit employees except that the waiting period between steps is 52 weeks.

.14 Higher-Level Assignments. See the PDC collective bargaining agreement.

426.2 ADPC Schedule

.21 Salary System.

.211 Schedule. The basic annual salary schedule for employees covered by the Automatic Data Processing Center (ADPC) collective bargaining agreement is the ADPC Schedule, consisting of 8 steps, grades 8 through 17, 19, and 21. The basic annual salaries are augmented by general increases provided by the collective bargaining agreement.

.212 Part-Time Employee. Part-time flexible schedule employees are paid according to 422.122, based on the schedule for ADPC bargaining unit employees.

.213 Cost-of-living Adjustment (COLA). In addition to their basic annual or hourly rate, all bargaining unit employees also receive such COLA as is provided by their applicable collective bargaining agreement.

.214 Employee Classifications. The bargaining unit classifications in 432.111 which apply to ADPC employees are full-time regular and part-time flexible. *NOTE: a.* The bargaining classification of part-time regular does not apply to ADPC employees.

b. Casual (see 432-12*a*) is a non-bargaining unit employee classification. Thus, casuals at the ADPC are *not* in the bargaining unit.

.22 Change Action Pay Rules

.221 Career Appointment. A new employee to the Postal Service hired into the ADPC Schedule with a career appointment is paid at the minimum for the grade (see 422.21).

.222 Additional Appointment. (See 422.22).

.223 Promotion. See 421.431 for definition. Rules for promotion to and within the ADPC Schedule are:

a. Promotion Increase. A promoted employee will receive an increase in basic salary in accordance with promotion rules in 422.23.

b. Effect of Saved Rate. (See 426.123*b*).

.224 Reassignment. See 421.432 for definition. An employee's salary is not changed as a result of a reassignment. For reassignment to non-bargaining unit salary schedules, see 418.

.225 Demotion. See 421.433 for defintion and general regulation for demotion. See 422.25 for demotion to and within the ADPC Schedule. For demotion to a non-bargaining unit schedule, see 418.

.226 Voluntary Reduction. See 421.434 for definition. See 422.26 for voluntary reduction to and within the ADPC Schedule. For voluntary reduction a non-bargaining unit schedule, see 418.

.227 Management Action Reduction. See 421.435 for defintion. For reduction from the ADPC schedule to a non-bargaining schedule, see 418. In the the case of a non-disciplinary and involuntary reduction, the following rate retention provisions apply:

a. Saved Rate. The employee will retain his salary and remain eligible for any in-grade salary increases for which he otherwise would have been eligible. The employee will continue in this status until such time as he fails to bid or apply for assignment to a vacant, established position (1) in the former grade or (2) in a grade between that of the former grade and the new grade within the same ADPC—providing acceptance of the vacant position does not result in any loss in salary. The ADPC notifies the employee of any vacant position for which he is or may be qualified. Failure to qualify for the position does not result in the loss of saved rate. (See also 421.521.)

b. Saved Grade. For saved grade rules due to technological and mechanization changes, see 421.53.

.23 Step Increases. The rules for granting step increases in 422.3 apply to ADPC employees, except that the waiting period between step increases is 52 weeks.

.24 Higher Level Assignments. See ADPC collective bargaining agreement.

427 R&D Schedule

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427.1 Salary System

.11 Schedule. The base annual salary schedule for employees covered by the Rockville Research and Development Department (R&D) collective bargaining agreement is the R&D Schedule, consisting of 8 steps, grades 1 through 25. The annual salaries for Research and Development bargaining unit employees are augmented by adjustments made in accordance with the provisions of the applicable collective bargaining agreement.

.12 Part-Time Employees. Part-time flexible schedule employees are paid according to 422.122, based on the schedule for R&D bargaining unit employees.

.13 Employee Classifications. The bargaining unit classifications in 432.111 which apply to R&R employees are full-time regular and part-time flexible. *NOTE:* The bargaining classification of part-time regular does not apply to R&D employees.

427.2 Change Action Pay Rules

.21 Career Appointment. A new employee to the Postal Service, hired into the R&D Schedule with a career appointment is to be paid the rate for the first step of the grade of the position for which hired (see 422.21).

.22 Promotion. See 421.431 for definition. Rules for promotion to and within the R&D Schedule are:

a. Promotion Increase. An employee promoted to a higher-grade position in the bargaining unit will receive a promotion increase equivalent to two (2) full step increases in the grade from which promoted. If the new salary falls between two steps of the new grade, it shall be further advanced to the next higher step. If the new salary falls below the minimum of the new grade, it shall be further advanced to step 1. The new salary on a promotional increase cannot exceed the maximum of the salary range of the new grade.

b. New Waiting Period. Effective with the date of the promotion, the employee begins a new waiting period of 52 weeks for advancement to the next higher step of the new grade.

.23 Reassignment. See 421.432 for definition of reassignment. An employee's salary is not changed as a result of reassignment. For reassignment to non-bargaining unit salary schedules, see 418.

.24 Demotion. See 421.433 for definition. For demotion to a non-bargaining unit salary schedule, see 418.

.25 Voluntary Reduction. See 421.434 for definition. See 418 for voluntary reduction from the R&D schedule to a non-bargaining unit schedule.

.26 Management Action Reduction. See 421.435 for definition. See 418 for reduction from the R&D Schedule to a non-bargaining unit schedule.

427.3 Step Increases.

The rules for granting step increases in 422.3 apply to R&D employees, except that the waiting period between step increases is 52 weeks.

427.4 Higher-Level Assignments.

For higher-level assignments to a non-bargaining unit schedule, see 418.

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430 Basic and Special Pay Provisions

431 Scope

This subchapter establishes the conditions and procedures for determining eligibility for and computation of basic hours of work and pay, overtime pay, special pay premiums, and allowances to all bargaining unit and non-bargaining unit employees.

432 General Definitions and Provisions

432.1 Employee Classifications

.11 Regular Work Force

.111 Bargaining Unit

a. Full-Time Employees. Career annual rate employees assigned to work schedules of five 8-hour days in a service week.

b. Part-Time Employees. Part-time employees work less than 40 hours a week and are categorized as follows:

(*1*) *Part-Time Regular Employees*—career hourly rate employees assigned to work regular schedules of less than 40 hours in a service week.

(*2*) *Part-Time Flexible Employees*—career hourly rate employees available to work flexible hours as assigned by the Postal Service during the course of a service week.

c. Rural Carriers. There are five types of rural carriers, as follows:

(*1*) *Regular Rural Carriers*—career annual rate employees assigned to an established mileage rural route on the basis of 6 days, or to an established heavy duty rural route for 5, 5½, or 6 days in a service week.

(*2*) *Substitute Rural Carriers*—non-career employees with an indefinite appointment assigned to substitute as a relief or leave replacement on one to three established rural routes during the absence of the regular rural carrier. Substitute rural carriers also may be temporarily assigned (a) to a vacant rural route pending the selection of a regular rural carrier, (b) to an auxiliary route as an auxiliary rural carrier or (c) as an auxiliary assistant.

(*3*) *Emergency Substitute Rural Carrier*—non-career hourly rate employees with a limited term appointment who are employed on an emergency basis to serve an established or auxiliary rural route in the absence of both an assigned rural carrier and substitute rural carrier. Any career or supplemental postal employee also may be temporarily assigned as an emergency substitute rural carrier.

(*4*) *Auxiliary Rural Carriers*—employees who serve an auxiliary rural route (one that has not been evaluated and designated as a regular rural route). Normally, such a position is filled by the temporary assignment of a substitute rural carrier. However, if none is available, a qualified non-career hourly rate employee may be appointed for a limited term.

(*5*) *Auxiliary Assistant*—employees who assist rural carriers. Auxiliary assistant positions are normally filled by the temporary assignment of a substitute rural carrier. However, if none is available, another qualified employee may be so assigned or a qualified person outside the Postal Service may be offered a non-career hourly rate appointment for a limited term.

.112 Non-Bargaining Unit

a. Full-Time Salaried Employees. The following salaried employees are employed pursuant to such procedures as the Postal Service may establish and are paid on an annual rate basis:

(*1*) *Officers.* Officers of the Postal Service are: Postmaster General (PMG), Deputy Postmaster General (DPMG), Regional Postmasters General (RPMGs), Senior Assistant Postmasters General (SAPMGs), General Counsel, Assistant Postmasters General (APMGs), Judicial Officer, Consumer Advocate, Treasurer, Controller, Executive Assistant to the PMG, and the Chief Postal Inspector.

(*2*) *Exempt Salaried Employees.* Career employees who are exempt from the provisions of the FLSA and, although not limited to working a specified number of hours in a service week, are expected to work at least 40 hours per week fulfilling the responsibilities of their position.

(*3*) *Nonexempt Salaried Employee.* Career employees who are not exempt from (i.e., covered by) the overtime provisions of the FLSA. These employees are assigned to work schedules consisting of five 8-hour days in a service week.

b. Part-Time Salaried Employees. These employees are career hourly rate employees who work a regular schedule of less than 40 hours in a service week and may be assigned either to exempt or to nonexempt positions.

.12 Supplemental Work Force. All employees in the supplemental work force are non-bargaining unit employees and are categorized as follows:

a. Casual Employees—non-career employees with limited term appointments used as a supplemental work force, as described in collective bargaining agreements, who perform duties assigned to bargaining unit positions.

b. Temporary Employees—non-career employees with a limited term appointment up to, but not to exceed, one year who perform duties assigned to non-bargaining unit positions. This includes Emergency Substitute Rural Carriers.

c. Leave Replacements—non-career hourly rate employees with a limited term appointment who are employed as a relief or leave replacement during the absence of a postmaster.

432.2 Rates of Pay

.21 Basic Rate. The basic rate is the amount of annual, daily, or hourly salary provided by the applicable salary schedule for an employee's assigned position—*excluding* COLA, TCOLA, overtime, out-of-schedule overtime, Sunday premium, holiday-worked pay, and night differential. Basic daily and hourly rates are determined by dividing the basic annual rate (BAR) as shown in the table below. See also 432.24.

a. Basic Annual Rate (BAR)

b. Basic Daily Rate

(1) Postal Inspectors on 6-day work week $\frac{\text{BAR}}{312}$

(2) FLSA Exempt Postmasters $\frac{\text{BAR}}{260}$

(3) Regular Rural Carriers

- (a) On H or M Route (6-day work week) $\frac{\text{BAR}}{312}$
- (b) On J Route (5½-day work week) $\frac{\text{BAR}}{286}$
- (c) On K Route (5-day work week) $\frac{\text{BAR}}{260}$

(4) Substitute Rural Carriers

- (a) On H or M Route $\frac{\text{BAR}}{303}$
- (b) On J Route $\frac{\text{BAR}}{277}$
- (c) On K Route $\frac{\text{BAR}}{251}$

c. Basic Hourly Rates

(1) Full-time and part-time regular employees $\frac{\text{BAR}}{2080}$

(2) Part-time flexible employees

- (a) For calculation of straight time pay and night differential only $\frac{\text{BAR}}{2008}$
- (b) For calculation of overtime and all other premiums $\frac{\text{BAR}}{2080}$

.22 Base Rate. The base annual, daily, or hourly rate is the appropriate basic rate—except that it includes COLA.

.23 Regular Rate. See 444.21.

.24 Rounding of Rates. In computing individual earnings, the daily or hourly rate is calculated from the annual rate to four decimal places. The fourth place is rounded up to the next higher figure if the fifth place is 5 or more. Total earnings are rounded to the nearest cent, counting one-half or more as a whole cent and dropping less than one-half cent.

432.3 Work Schedules and Overtime Limits

.31 Basic Work Week. The basic work week for full-time employees (bargaining unit and non-bargaining unit) consists of five regularly-scheduled 8-hour days within a service week. See exclusions in 432.33.

Note:

a. For full-time bargaining unit employees in facilities with more than 100 full-time bargaining unit employees, the daily 8-hour schedule may not extend over more than 9 consecutive hours.

b. For all other full-time employees (bargaining unit and non-bargaining unit) the daily 8-hour schedule may not extend over more than 10 consecutive hours.

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.32 Maximum Hours Allowed. The maximum hours allowed depends on employee classifications as follows:

a. Full-time Bargaining Unit Employees. Except for the month of December and in emergency situations, these employees may not be required to work over 10 hours in a day or 6 days in a week.

b. All Other Employees. Except in emergency situations as determined by the PMG (or designee), these employees may not be required to work more than 12 hours in one service day. In addition, the total hours of daily service, including scheduled work hours, overtime, and meal time, may not be extended over a period longer than 12 consecutive hours.

.33 Exclusions. The provisions in 432.31 and 432.32 do not apply to:

a. Postmasters.
b. Postal Inspectors.
c. Exempt salaried employees.
d. Rural carriers.

.34 Meal Time. Except in emergency situations or where service conditions preclude compliance, no employee may be required to work more than six continuous hours without a meal or rest period of at least one-half hour.

.35 Postmasters. A full-time postmaster is scheduled to work a 40-hour workweek. Normally, this regular work schedule is set at 8 hours a day and 5 days a week, Monday through Friday. A Postal Operations Administrator (POA) or senior supervisor is assigned to replace the postmaster on Saturday, the sixth day. When a nonexempt postmaster is required to work on the sixth day because relief is not available, overtime or non-bargaining rescheduling premium, as appropriate, is paid. Equivalent time off from work is not authorized.

432.4 Service Periods

.41 Pay Period. A pay period begins on Saturday and ends on Friday. Each pay period comprises two service weeks.

.42 Service Week. A service week is the calendar week beginning at 12:01 a.m. Saturday and ending at 12:00 midnight the following Friday. This service week remains fixed regardless of the schedule of hours worked by individual employees.

.43 Service Day. The service day is a calendar day, 12:01 a.m. to 12 midnight. An employee's service day depends on his schedule.

a. Full-Time Employees. For a full-time employee whose regular schedule begins at 8:00 p.m. or later, the service day is the next calendar day and all work hours (including preshift work hours), as well as leave hours, shall be recorded on that calendar day. If the employee's regular schedule begins prior to 8:00 p.m., the service day is the calendar day on which the schedule began and all work and leave hours shall be recorded on that calendar day.

b. Part Time Employees. For all part-time employees who begin work or leave at 8:00 p.m. or later, the service day is the next calendar day and all hours are recorded on that calendar day. If such employees begin work or leave prior to 8:00 p.m., the service day is the calendar day on which they began work or leave and all hours are recorded on that calendar day.

c. Casual and Temporary Employees. For casual and temporary employees who begin work at 8:00 p.m. or later, the service day is the next calendar day and all hours are recorded on that calendar day. If such employees begin work prior to 8:00 p.m., the service day is the calendar day on which they began work and all hours are recorded on that calendar day.

.44 FLSA Workweek

.441 Explanation. The FLSA workweek for all employees is a fixed and regular recurring period of 168 hours—seven consecutive 24-hour periods. Once the beginning time of an employee's workweek is established, it remains fixed regardless of the schedule of hours worked. The beginning of the FLSA workweek may be changed only if the change is intended to be permanent and is not designed to evade the payment of overtime.

.442 Permanent Change. When there is a permanent change in an employee's workweek which causes some of the working time to fall within hours that are included in both the *old* and *new* workweek, the employee's pay is calculated as follows:

a. Assume first that the overlapping hours are to be counted as hours worked only in the *old* workweek and not in the *new;* compute straight time and overtime compensation due for each of the 2 workweeks on this basis and total the two sums.

b. Assume now that the overlapping hours are to be counted as hours worked only in the *new* workweek and not in the *old;* and complete the total computation accordingly.

c. Pay the employee an amount not less than the greater of the amounts computed by methods a. and b. above.

.443 Full-Time Employees. The FLSA workweek for full-time employees is 168 consecutive hours established as follows:

a. For an employee whose regular schedule includes Saturday as a service day, the FLSA workweek begins 8 hours prior to the beginning of the employee's regular schedule for that service day.

Example 1. Full-time Employee A has a regular schedule starting time of 11:00 p.m. Friday night. By definition, the employee's USPS service day is Saturday. Based on the FLSA workweek definition set forth above, the employee's FLSA workweek begins at 3:00 p.m. Friday.

Example 2. Full-time Employee B has a regular starting time of 1:00 a.m. Saturday. By definition, the employee's USPS service day is Saturday. Based on the FLSA workweek definition set forth above, the employee's FLSA workweek in this situation begins at 5:00 p.m. Friday.

b. For an employee whose regular schedule does not include Saturday as a service day, the FLSA workweek is established by considering Saturday as if it were a service day; and the starting time is the same as the regularly-scheduled starting time on the first scheduled service day in the service week. Thus, the employee's FLSA workweek begins eight hours prior to this Saturday service day starting time.

Example. Full-time Employee C has Saturdays and Sundays off and his first scheduled work day is Monday at 6:00 a.m. For purposes of establishing the FLSA workweek, the 6:00 a.m. is considered as a Saturday service day starting time. Based on the FLSA workweek definition set forth above, the employee's FLSA workweek begins at 10:00 p.m. Friday.

.444 Part-Time Employees. The FLSA workweek for part-time employees is 168 consecutive hours established as follows:

The employee's normal starting time as established by the installation head (for a part-time regular, this is his regular-scheduled starting time), is used as the basis for establishing the FLSA workweek by considering such starting time as if it were a Saturday service day starting time. The beginning of the FLSA workweek is eight hours prior to this Saturday service day starting time, *but in no case does it begin prior to 8:00 p.m. Friday.*

Example 1. Part-time flexible employee E normally reports to his pay location at 11:00 p.m. For purposes of establishing the FLSA workweek, the 11:00 p.m. starting time is considered a Saturday service day starting time. i.e., 11:00 p.m. Friday night. Applying the above FLSA workweek definition, the employee's FLSA workweek begins at 8:00 p.m. Friday.

Example 2. Part-time flexible employee F normally reports to his pay location at 3:00 p.m. For purposes of establishing the FLSA workweek, the 3:00 p.m. starting time is considered a Saturday service day starting time. Applying the above FLSA workweek definition, the employee's FLSA workweek begins at 7:00 a.m. Saturday.

Example 3. Part-time regular employee G is regularly scheduled to report to his pay location at 6:00 p.m. For purposes of establishing the FLSA workweek the 6:00 p.m. starting time is considered a Saturday service day starting time. Applying the above FLSA workweek definition, the employee's FLSA workweek begins at 10:00 a.m. Saturday.

.45 Work Assignments. In order to comply with the postal policy of paying overtime for all hours worked in excess of 8 hours in a service day, managers must assign the work hours of all employees in such a manner (a) that employees do not perform continuous work that is reported in two different service days, and (b) that any scheduling changes would not be construed as intentive of evading the payment of overtime under the provisions of the FLSA (see 432.441).

.46 Five Minute Leeway Rule

.461 Although each employee at installations with time recording devices is required to clock in and clock out on time, congestion at time clocks or other conditions can sometimes cause clock time to vary slightly from the established work schedule. Therefore a deviation may be allowed from the scheduled time for each clock ring up to 0.08 hours (5 minutes). However, the sum of the deviations for the scheduled tour must not exceed 0.08 hours (5 minutes). This *5 minute leeway rule* applies only to full-time and part-time regular schedule employees. Part-time flexible, casual, and temporary employees are allowed the five minute privilege for clocking purposes but are paid on the basis of their actual clock rings.

.462 The *5 minute leeway rule* applies only to the scheduled tour of duty. If an employee works in an overtime status that is contiguous with the scheduled tour, the *5 minute leeway rule* does not apply to any clock rings for the entire tour. Employees in this situation are paid for their actual clock time (unless the time is disallowed as described in 432.7). However, the *5 minute leeway rule* does apply to temporary schedules including any out of schedule overtime hours outside of and instead of the employee's regular schedule.

.463 After extending clock rings, if (in the case of a full-time regular schedule employee) the clock ring totals for the tour are between 7.92 and 8.08 hours, the time should be adjusted to 8.00 hours. If a part-time regular schedule employee's clock time is between 0.08 of an hour less than or greater than his established schedule, then the time should be adjusted to the employee's scheduled tour.

.464 The *5 minute leeway rule* for night differential and Sunday premium hours is peculiar and requires special attention:

a. In the case of night differential, the eligible employee is to be paid night differential for the exact amount of time he works between 6:00 p.m. and 6:00 a.m. However, in no case can the total night differential hours exceed the total hours for the tour. If the only reason that part of an employee's clock time falls between 6:00 p.m. and 6:00 a.m. is because the employee clocked in .08 hours or less before 6:00 a.m. or clocked out .08 hours or less after 6:00 p.m. then the employee is not eligible to be paid night differential.

b. Eligible employees receive Sunday premium for all hours worked during a scheduled tour any part of which falls on Sunday. The amount of Sunday premium cannot exceed the hours worked nor can it exceed 8.00 hours per tour. If the only reason that part of an employee's clock time falls on Sunday is because the employee clocked in .08 hours or less before the scheduled tour started or .08 hours or less after the scheduled tour ended, then the employee is not eligible for any Sunday premium.

.465 On some occasions, an employee may have a combination of work and paid leave. In such cases, the 5 minute leeway rule does not apply and the employee is credited with the actual hours worked. The balance of the employee's scheduled tour is charged to sufficient leave to give the employee credit for the total scheduled tour.

432.5 Work Credit

.51 Postal Inspectors and FLSA Exempt Postmasters. Time for these employees is credited in units of whole days—except for the purpose of terminal leave payments or leave payments immediately preceding a period of LWOP. (Note: FLSA exempt postmasters are those who supervise at least two full-time equivalent employees.)

.52 Full-Time and Part-Time Employees. These employees are credited as follows:

a. Full-time employees who are credited (work or paid leave) for all scheduled service in a pay period are paid on the basis of 80 hours.

b. Part-time employees who are credited (work or paid leave) for all scheduled service in a pay period are paid on the basis of the hours of scheduled service.

c. If an employee performs only part of the scheduled work in a pay period and does not have leave credits to cover the balance of the scheduled work, the employee is paid for time actually worked.

.53 City Letter Carriers (7:01 Rule). A City Letter Carrier who actually works more than 7 hours, but less than 8 hours of a regular scheduled day and who is officially excused from the completion of the 8 hour tour is credited with 8 hours of work time for pay purposes. This is known as the *7:01 rule* (see 444.21a.(7)).

.54 Rural Carriers. See 445.

.55 Pyramiding of Premiums. In general, the total various premiums paid, excluding night differential, may not exceed 50% of the employee's base salary. See Exhibit 432.55 for a decision table for situations when an employee may be eligible for more than one type of premium pay for the same hour of work.

432.6 Guaranteed Time

.61 Explanation. *Guaranteed time* is paid time not worked under the guarantee provisions of collective bargaining agreements for periods when an employee has been released by the supervisor and has clocked out prior to the end of a guaranteed period. For example, most full-time regular employes in the bargaining units are guaranteed 8 hours of work (or pay in lieu thereof) if called in on their nonscheduled day to work. If such employee works 6 hours and is then told by the supervisor to clock out because of lack of work, the remaining 2 hours of the employee's 8-hour guarantee is recorded as *guaranteed time.* It is not possible for an employee to earn *guaranteed time* as long as he is on the clock.

.62 Eligibility. Exhibit 432.62 indicates by rate schedule code and employee classifications those persons who are eligible to receive pay for *guaranteed time.* If an employee is eligible for more than one time guarantee, the guarantee for the highest number of hours will apply. For example, if an employee is eligible for either 2 or 4 hours of guaranteed pay, the 4-hour guarantee will apply.

.63 Pay Computation. As a general principle, when an employee is told to *clock out* by management prior to the end of the guarantee period, such employee will be compensated for the hours of the guarantee period at the rate of pay he would have received had

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he actually worked such hours. There are, however, conditions under which employees will not be compensated for the remaining hours of the guarantee period. Generally, this would occur when an employee requests to leave the postal premises because of an illness or for personal reasons or leaves without proper authorization. (Note: The *5 minute leeway rule* does not apply to any clock rings for an employee entering a *"guaranteed time"* status. The employee will be credited with time reflected by his clock rings.)

432.7 Time Worked (See 444.22)

.71 Supervisors should see to it that employees do not remain *on the clock* unless specifically authorized to do so. Where employees continue to work contrary to instructions from a supervisor to *clock out,* the corrective action must be a procedure other than not compensating the employees for work performed.

.72 If an employee's clock rings exceed 8.08 hours and the employee was not engaged in work or work-related activities while in the time-over-8 status, supervisors are to disallow the time on the clock which was not worked. In such a case the supervisor should prepare a written entry as to the factual basis for his knowledge that the employee was not working during the period of time disallowed. Examples of time which may be properly disallowed include, but are not limited to:

a. Washup time. Time spent by an employee changing clothes and/or washing up after his tour ends which exceeds the time alloted for such purposes in applicable collective bargaining agreements.

b. Waiting time. Time spent by an employee while waiting to start work at the beginning of a tour when the employee has not been instructed or otherwise required to wait.

c. Personal time. Time spent by an employee, before his tour begins or after his tour ends, attending to personal matters.

d. Meal time. Time spent by an employee "on the clock" during a designated meal period, provided, of course, that the employee was completely relieved of all duties and responsibilities and performed no work during this period.

.73 Supervisors must credit employees with all time designated as worktime under the Fair Labor Standards Act. Examples of time which must be credited as worktime if the supervisor knows or has reason to believe the activities are being performed during the time, include:

a. Time spent by employees in performing duties which are an indispensable integral part of, or closely related to, the employee's principal work activity, such as pulling mail from a distribution case, collecting tools (cutting knives, string, rubber bands, etc.), and adjusting rest bars.

b. Time spent in a continuing to work after a tour ends in order to correct an error, to prepare records, or to finish up a task.

c. Time spent working during meal periods.

d. Time spent distributing work to work stations.

.74 When an employee is directed by management to an on or off site medical unit due to illness or injury, all time spent waiting for and/or receiving medical attention on the service day on which the illness or injury occurred and which would have been worked but for the medical attention is credited as work time.

433 Straight Time Pay

433.1 Definition. Straight time pay is the total earnings of an employee for hours of work or authorized paid leave not in excess of 8 hours in a service day or 40 hours in a service week.

433.2 Full-Time Employees. As straight time pay for a full pay period, a full-time employee is paid an amount equal to his base hourly rate times 80 hours.

433.3 Part-time Employees. As straight time pay for a full pay period, a part-time employee is paid an amount equal to his base hourly rate times the number of hours of service and leave for which he has credit in the pay period.

433.4 Casual and Temporary Employees. As straight time pay for the pay priod, casual and temporary employees are paid on an hourly basis for hours worked.

433.5 Reemployed Annuitant. An annuitant is any former federal or postal employee who is receiving a retirement annuity from the Federal Government. A annuitant's services may be obtained under a perso service contract according to section VII-5 of Publication 41, *Postal Contracting Manual.* Otherwise, the annuitant may be employed or reemployed, subject to the following conditions:

a. The employee's salary is established according to the appropriate pay rules for the assigned salary schedule and grade.

b. The employee's salary is subject to any deductions required by federal law to offset the amount of the employee's annuity.

c. Former postal employees who, upon retirement, received a retirement bonus equal to six months compensation are required to refund the amount of that bonus upon reemployment by the Postal Service.

434 Overtime and Premium Pay

434.1 Overtime and Compensatory Time

.11 Overtime Worked. In emergencies or as the needs of the service requires, the postmaster or installation head may require employees to perform work which is in excess of 8 paid hours in a day or 40 paid hours in a week. Note:

a. The overtime limits in 432.32 may not be exceeded.

b. See 434.13 and 434.14 for the types of compensation for excess hours and eligibility to receive compensation.

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.12 Definitions

.121 Exempt Employees. Employees serving in positions which are exempt from and are not covered by the overtime provisions of the Fair Labor Standards Act (FLSA) because they are administrative, professional, or executive personnel (see 443.3), as follows:

a. Bargaining Unit Employees. All employees in grades 19 and above.

b. Non-Bargaining Unit Employees. All employees occupying positions classified exempt in a Memorandum of Authorization issued by the Headquarters Office of Organizational Requirements and published in the Occupation Code Master List. This list is distributed quarterly to each MSC, BMC, and Regional Headquarters.

.122 Nonexempt Employees. Employees serving in positions which are covered by the overtime provisions of FLSA (see 444.1), namely all those not classified exempt in 434.121.

.123 Full-time Equivalent (FTE). FTEs consist of any, or all, career employees who are customarily and regularly assigned to an installation, or recognized subdivision of the installation. The total FTEs assigned to a unit are defined as (1) the number of full-time employees plus (2) 1/40 of the total average weekly straight time hours of all part-time regular and flexible employees, rounded to the lower whole number. Casuals, temporaries, postmaster replacements, rural auxiliary assistants, and any other members of the supplemental workforce are not included in the determination of FTE.

.124 Paid Hours. Hours actually worked *plus* paid time off, as defined below:

a. Hours Actually Worked. All time which management suffers or permits an employee to work. Hours actually worked include travel and training time, standby time (excluding PDC on-call time), or other time on duty. They do not include paid time off as defined below. (See also 444.22).

b. Paid Time Off. Paid hours of annual leave, sick leave, holiday leave, court leave, service as a juror, military leave, and all other paid leave hours including personal absences or absences on compensatory time where no work is performed for the Postal Service. These hours are excluded from the determination of FLSA overtime.

.125 Incidental Overtime Service. Service which is performed by an exempt non-bargaining unit employee in addition to regular scheduled service, without specific direction, and which is inherent in the responsibilities of the position.

.126 Scheduled Overtime Service. Authorized service, that is, service which is performed by direction for a specific period by an exempt non-bargaining employee. For example: a Supervisor, Mails, is directed by management to serve an additional two-hour tour for a five-day period to cover an unsupervised tour.

.13 Types of Compensation

.131 Postal Overtime. Postal overtime is compensation paid to eligible personnel at 150% of each employee's *base hourly rate* for all actual work hours (other than incidental overtime service) in excess of 8 *paid hours* in a day, 40 *paid hours* in a service week or, if a full-time bargaining unit employee, on a nonscheduled day.

.132 FLSA Overtime. FLSA overtime (see 444) is compensation paid to eligible personnel at 150% of each employee's *regular hourly rate* for all worktime which management "suffers or permits" to be *actually worked* in excess of 40 hours within an FLSA workweek.

.133 Bargaining Unit Compensatory Time. Compensatory time is time earned by an exempt bargaining unit employee in lieu of overtime pay and is equal to those authorized and scheduled hours actually worked in excess of 40 paid hours in any one service week or equal to those hours actually worked on a holiday. Each hour of earned compensatory time entitles an employee to an hour of paid, excused absence. It is granted to eligible employees at the convenience of the Postal Service, but not later than 60 working days after it is earned (30 working days for bargaining unit employees at the payroll data centers).

.134 Non-Bargaining Unit Personal Absence. Non-bargaining unit exempt employees do not earn compensatory time. Instead, they may be granted a personal absence, without charge to leave, in accordance with the provisions in 519.7.

.14 Eligibility and Coverage

.141 Eligible for Overtime Pay. Exhibit 434.141a identifies those employees who are eligible for *Postal overtime.* Exhibit 434.141b identifies those employees who are eligible for FLSA overtime.

.142 Dual Eligibility. An employee who is eligible for both postal overtime and for FLSA overtime is compensated according to the overtime procedure that is the more advantageous.

.143 Eligibility for Compensatory Time. Exhibit 434.143 identifies those employees who are eligible for compensatory time.

.144 Dual Assignment. When an employee performs a combination of exempt and nonexempt work within an FLSA workweek, the following applies:

a. If the employee's permanent position is either exempt or nonexempt and 50% or more of the actual work hours are spent in nonexempt work, the employee is not eligible for compensatory time or personal absence, but must be paid either postal or FLSA overtime, whichever is greater, for all hours worked in excess of 8 paid hours in a day or 40 paid hours in the week. The employee is eligible for other premiums as applicable to the assigned position in which the premium is earned.

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Exhibit 432.62

GUARANTEED TIME

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op.Svcs.)	N(PDC)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	NO	NO	NO	YES [1, 2]	YES [1, 2]	YES [1, 2, 4]	NO
PART TIME REGULAR	▨	NO	▨	▨	▨	YES [1, 3]	NO
PART TIME FLEXIBLE	NO	▨	NO	▨	YES [5]	YES [3, 5]	▨
CASUAL	NO	▨	▨	NO	NO	NO	▨
TEMPORARY	▨	NO	▨	▨	▨	▨	NO

Footnotes:

[1] Guaranteed four hours work or pay in lieu thereof when called in outside the regular work schedule. Such guaranteed minimum shall not apply to an employee called in who continues working on into the regular scheduled shift.

[2] Guaranteed eight hours work or pay in lieu thereof when called in on a non-scheduled day except that PDC employees engaged in computer programming or systems analyst assignments, Headquarters Operating Services and Security Force personnel are guaranteed four hours of work or pay in lieu thereof when called in on a non-scheduled day.

[3] Employees represented by APWU, Mail Handlers, or NALC at installation with 200 or more man-years of employment are guaranteed four hours of work or pay if requested or scheduled to work. At installations with less than 200 man-years of employment, employees are guaranteed two hours of work or pay if requested or scheduled to work.

[4] Employees of the Tool and Die Shop Bargaining unit at the Mail Equipment Shop represented by the IAM are guaranteed four hours of work or pay on a scheduled day.

[5] Guaranteed four hours work of pay if called back to work on a day when the day's assignment has been completed and the employee has clocked out. This applies to any size office.

Exhibit 432.55

Pyramiding of Premiums

If an employee is eligible to receive: / is he also eligible to receive:	Night differential	Sunday premium	Overtime [1]	Out of schedule overtime	Guaranteed time	Compensatory time earned	Holiday worked pay	Xmas worked pay	Holiday schedule premium	Nonbargaining reschedule premium	Continuation of pay	On-call	Training	Travel
Night Differential	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes
Sunday Premium	Yes	N/A	No	No	Yes	No	Yes	Yes	No	No	Yes	No	Yes	Yes
Overtime [1]	Yes	No	N/A	No	Yes	No	No	No	No	No	No	No	Yes	Yes
Out of Schedule Overtime	Yes	No	No	N/A	Yes	No	No	No	No	No	No	No	No	No
Guaranteed Time	Yes	Yes	Yes	Yes	N/A	No	Yes	Yes	Yes	No	No	No	No	No
Compensatory Time Earned	Yes	No	No	No	No	N/A	No	No	No	No	No	No	Yes	Yes
Holiday Worked Pay	Yes	Yes	No	No	Yes	No	N/A	No	Yes	Yes	No	No	Yes	Yes
Christmas Worked Pay	Yes	Yes	No	No	Yes	No	No	N/A	No	No	No	No	Yes	No
Holiday Schedule Premium	Yes	No	No	No	Yes	No	Yes	No	N/A	No	No	No	No	No
Nonbargaining Rescheduling Premium	Yes	No	No	No	No	No	Yes	No	No	N/A	No	No	No	No
Continuation of Pay	Yes	Yes	No	No	No	No	No	No	No	No	N/A	No	No	No
PDC-On-Call	No	No	No	No	No	No	No	No	No	No	No	N/A	No	No
Training	Yes	Yes	Yes	No	No	Yes	Yes	Yes	No	No	No	No	N/A	No
Travel	Yes	Yes	Yes	No	No	Yes	Yes	No	No	No	No	No	No	N/A

[1] To be paid at the applicable Postal or FLSA overtime rate.

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Exhibit 434.141a

POSTAL OVERTIME

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	YES[1]	YES[2,3]	YES[1]	YES	YES[1]	YES	NO
PART TIME REGULAR	▨	YES[2,3]	▨	▨	▨	YES	NO
PART TIME FLEXIBLE	YES[1]	▨	YES[1]	▨	YES[1]	YES	▨
CASUAL	NO	▨	▨	NO	NO	NO	▨
TEMPORARY	▨	NO	▨	▨	▨	▨	NO

Footnotes:

[1] Grade 18 and below only.

[2] FLSA nonexempt employees only (See 434.122). During the designated Christmas period, exempt employees in grades 23 and below are eligible only if they directly supervise bargaining unit employees in Mail Processing and Delivery Service functions.

[3] Postmasters and officers in Charge are not eligible.

Exhibit 434.141b

FLSA OVERTIME

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	YES[1]	YES[2]	YES[1]	YES	YES[1]	YES	NO
PART TIME REGULAR	▨	YES[2]	▨	▨	▨	YES	NO
PART TIME FLEXIBLE	YES[1]	▨	YES[1]	▨	YES[1]	YES	▨
CASUAL	YES[1]	▨	▨	YES	YES[1]	YES	▨
TEMPORARY	▨	YES[2]	▨	▨	▨	▨	NO

Footnotes:
1. Grades 18 and below only.
2. FLSA nonexempt employees only (See 434.122).

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Exhibit 434.143

COMPENSATORY TIME

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	YES[1]	NO	NO	NO	YES[1]	NO	NO
PART TIME REGULAR	▨	NO	▨	▨	▨	NO	NO
PART TIME FLEXIBLE	YES[1]	▨	NO	▨	YES[1]	NO	▨
CASUAL	NO	▨	▨	NO	NO	NO	▨
TEMPORARY	▨	NO	▨	▨	▨	▨	NO

Footnotes:

1. Grades 19 and above only.

b. If the employee's permanent position is nonexempt and more than 50% of the actual work hours are spent in exempt work, the employee is eligible for either postal overtime, compensatory time, personal absence or other premiums as applicable to the assigned position in which the overtime service is performed or the premium earned.

c. If the employee's permanent position is exempt and more than 50% of the actual work hours are spent in exempt work, the employee remains exempt for the entire week and is not entitled to receive overtime or other premiums, except as provided for the permanent position.

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434.2 Night Differential

.21 Explanation. Night differential is a premium paid to eligible employees for all work and paid training or travel time performed between 6:00 p.m. and 6:00 a.m. Note:

a. Night differential is paid in addition to any other premiums earned by the employee (see 432.55).

b. In no case can the total night differential hours exceed the total hours for the tour.

c. Night differential does not apply if time between 6:00 p.m. and 6:00 a.m. is due only to late clocking out or early clocking in (see 432.464.1).

.22 Eligibility

.221 Exhibit 434.2 shows the employees who are eligible to receive night differential.

.222 Eligible employees who are regularly assigned to a night tour of duty are entitled to receive an equivalent amount of night differential when rescheduled to day work due to:

a. Participation in compensable training.
b. Court or jury duty.
c. Placement in "continuation of pay" status.
d. Service on military leave.

.223 Eligible exempt non-bargaining unit employees receive night differential when those hours that are normally worked in a service day fall within the specified parameters of this premium. Night differential is not payable when the service which is performed is in addition to the normal service day.

.23 Pay Computation. Eligible employees receive a premium, in addition to their base salary, equal to 10% of their base hourly straight-time rate for all work performed between 6:00 p.m. and 6:00 a.m.

434.3 Sunday Premium

.31 Explanation. Sunday premium is a premium paid to eligible employees for all work and paid training or travel time performed during a scheduled tour that includes any part of a Sunday. Note:

a. An employee entitled to Sunday premium may also be entitled to other premiums for the same tour (see 432.55).

b. An employee may not be credited with Sunday premium in excess of the hours worked per tour, of 8.00 hours per tour, or of 16 hours per service week. Security Force employees covered by the FPSP Bargaining Agreement are limited to 8 hours per service week.

c. Sunday premium does not apply if Sunday time is due only to late clocking out or early clocking in (see 432.464.b).

d. Eligible exempt non-bargaining unit employees receive Sunday premium when those hours that are normally worked in a service day fall within the specified parameters of this premium.

.32 Eligibility. Exhibit 434.3 describes those employees who are eligible to receive Sunday premium. It is important to note that only those employees who have been *scheduled* to work on a Sunday are eligible to receive the premium. If the employee has not been scheduled, then he is not eligible for Sunday premium.

.33 Leave. If on leave for any part of the tour, the employee is not entitled to Sunday premium for the leave hours. The only exceptions to this condition is for leave granted for court or military duty on a scheduled Sunday tour or to an employee in a continuation of pay status. Then the employee is entitled to Sunday premium just as though he had worked.

.34 Pay Computation. Eligible employee receive a premium, in addition to their base salary, equal to 25% of their base hourly straight-time rate for each hour of work performed up to 8 hours. *Note:* Hours worked in excess of 8 paid hours on a Sunday are paid as overtime pay as provided in 434.13.

434.4 Holiday Leave Pay

.41 Definition

.411 The following 9 days are observed as holidays.

a. New Year's Day
b. Washington's Birthday
c. Memorial Day
d. Independence Day
e. Labor Day
f. Columbus Day
g. Veteran's Day
h. Thanksgiving Day
i. Christmas Day

.412 On these holidays, eligible employees receive holiday leave pay for a number of hours equal to their regular daily work schedule, not to exceed eight hours. This holiday pay is instead of other paid leave to which an employee might otherwise be entitled on his holiday.

.413 If a holiday falls on an eligible employee's regular scheduled work day, including Saturday or Sunday, the employee observes the holiday on that day.

.414 When a holiday falls on an employee's scheduled non-work day, the first scheduled day preceding the holiday is designated the employee's holiday.

.415 When a holiday falls on a Sunday which is a nonscheduled work day for an employee, Monday is designated as the employee's holiday. However, if

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Exhibit 434.2

NIGHT DIFFERENTIAL

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	YES	YES[1]	YES[2]	YES	YES	YES	NO
PART TIME REGULAR	▨	YES[1]	▨	▨	▨	YES	NO
PART TIME FLEXIBLE	YES	▨	YES[2]	▨	YES	YES	▨
CASUAL	▨	▨	▨	YES	YES	YES	▨
TEMPORARY	▨	YES[1]	▨	▨	▨	▨	NO

Footnotes:

1. Grades 23 and below only, excluding postmasters and officers in charge, Postal Inspectors, and Management Associates.
2. Grades 18 and below only.

Exhibit 434.3

SUNDAY PREMIUM

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Ex. Consultant)
CLASSIFICATION							
FULL TIME	YES	YES[1]	YES[2]	YES	YES	YES[3, 4]	NO
PART TIME REGULAR	▨	YES[1]	▨	▨	▨	YES[3]	NO
PART TIME FLEXIBLE	YES	▨	YES[2]	▨	YES	YES[4]	▨
CASUAL	NO	▨	▨	NO	NO	NO	▨
TEMPORARY	▨	NO	▨	▨	▨	▨	NO

Footnotes:

1. Grades 23 and below only, excluding postmasters and officers in charge, Postal Inspectors, and Management Associates.
2. Grade 18 and below only.
3. Employees, represented by the Machinists Union (IAM), in the Tool and Die Shop at the Mail Equipment Shops are not eligible.
4. See special provisions for Security Police Offices covered by the FPSP Agreement in 434.31b.

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Monday is also a nonscheduled work day, then Saturday is designated as the employee's holiday.

.416 For all full-time postmasters, if a holiday falls on a Saturday which is a nonscheduled workday, the preceding Friday is designated as the postmaster's holiday. Where necessary, additional work hour allowances are authorized for those post offices without a senior supervisor to provide relief coverage during the postmaster's absence on holiday leave.

.417 *Holiday leave pay* should not be confused with *Holiday worked pay and Christmas worked pay* discussed in 434.5.

.42 Eligibility

.421 Eligibility chart:

Employee Category	Eligible
Full-time	yes
Part-time regular	(See 434.422)
Part-time flexible	no
Casual	no
Temporary	no

.422 Part-time regular schedule employees who are regularly scheduled to work a minimum of 5 days per service week are eligible for holiday pay in accordance with 434.41. Part-time regular schedule employees who are regularly scheduled to work less than 5 days in a service week are ineligible unless the holiday falls on their scheduled work day.

.423 A full-time or part-time regular employee who is scheduled to actually work on a holiday or on a designated holiday, but does not work, is placed in LWOP status and does not receive holiday leave pay, unless such absence is based on an extreme emergency situation and is excused by the employee's supervisor.

.43 Pay Computation

.431 Eligible full-time and part-time regular employees require no specific authorization to be absent from work on a holiday or a designated holiday.

.432 To receive pay for the holiday, the employee must be in a pay status (either work hours or paid leave) for the last hour of his scheduled work day prior to or the first hour of the employee's scheduled work day after the holiday or designated holiday.

.433 Eligible employees are paid for the holiday at their base hourly rate for those hours equal to their regular daily working schedule, not to exceed 8 hours.

.434 Holiday leave pay is in lieu of other paid leave to which an employee might otherwise be entitled on the designated holiday.

.435 Holiday leave pay is payable in addition to compensation for hours actually worked on a designated holiday (see 434.5).

.436 FLSA nonexempt postmasters, who supervise less than two full-time equivalent employees, are entitled to holiday leave pay, but only to the extent that those hours exceed any hours actually worked.

434.5 Holiday Worked Pay

.51 Definition

.511 *Holiday worked pay* is paid to eligible employees for hours worked on a recognized holiday or for hours worked on the employee's designated holiday, except Christmas. (See 434.4 for recognized holidays and definition of designated holidays.)

.512 *Christmas worked pay* is paid to eligible employees for hours worked on Christmas day or the day designated as the employee's Christmas holiday.

.52 Eligibility

.521 Exhibit 434.52a indicates which employees are eligible to receive *holiday worked pay* and *Christmas worked pay.*

.522 Part-time flexible employees receive *Christmas worked pay* only if they work on December 25.

.53 Pay Computation

.531 Eligible employees who are required to work on their holiday or designated holiday are paid (in addition to any pay for holiday leave to which they may be entitled) their base hourly straight time rate for each hour worked up to 8. Any work beyond 8 hours is treated as overtime.

.532 Eligible employees, excluding postmasters and officers in charge, who are required to work on Christmas day or their designated Christmas holiday are paid, in addition to authorized holiday leave pay (434.4) and holiday worked pay (434.531), Christmas worked pay at 50% of the amount paid in 434.531. Any work beyond 8 hours is treated as overtime. However, Christmas worked pay is not authorized during hours of overnight travel on a non-scheduled day (438.133).

.533 *A holiday scheduling premium* equal to 50% of the amount paid in 434.531 is paid to eligible employees for time actually worked on a holiday or on the employee's designated holiday (except Christmas) when the holiday schedule is not posted in accordance with the National Agreement, as follows:

a. If the schedule is not posted as of Wednesday preceding the service week in which the holiday falls, a full-time regular bargaining unit employee required to work on his holiday or designated holiday, or who volunteers to work on such day, will receive *holiday scheduling premium* for each hour of work, not to exceed 8 hours. This premium is in addition to both holiday leave pay and holiday worked pay.

b. In the event that, subsequent to the Wednesday posting period, an emergency situation attributable to Act(s) of God arises which requires the use of manpower on that holiday in excess of that scheduled in the Wednesday posting, full-time regular employees required to work or who volunteer to work in this circumstance(s) will not receive *holiday scheduling premium*.

c. When a full-time regular employee scheduled to work on a holiday in accordance with a., above, is unable to or fails to work on the holiday, the supervisor may require another full-time regular employee to work such schedule, and such replacement employee is not eligible for *holiday scheduling premium*.

.534 For those eligible employees who receive TCOLA (439.1), Christmas Worked Pay and the holiday scheduling premium are paid at 50% of the employee's base rate, plus TCOLA, in those workweeks when FLSA overtime is earned. In those workweeks when FLSA overtime is not earned, these premiums are calculated in accordance with 434.532 or 434.533.

.535 Eligible bargaining unit employees in grades 19 through 23 who are not authorized holiday worked pay are granted compensatory time for time worked on a holiday in accordance with 434.14.

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434.6 Out of Schedule Overtime

.61 Definition

.611 "Out of schedule overtime" is a premium paid to an eligible full-time employee for time worked outside of, and instead of, the employee's regularly scheduled workday or workweek when the employee is working on a temporary schedule at the request of management.

.612 "Out of schedule overtime" hours cannot exceed the unworked portion of the employee's regular schedule. Any hours worked which result in paid hours in excess of 8 hours per service day or 40 hours per service week are to be recorded as regular overtime—see 434.1.

.613 If notice of a temporary schedule change is given to an employee by Wednesday of the preceding service week, the employee can be limited to 8 hours per service day but would be paid "out of schedule overtime" for those hours worked outside of, and instead of, his regular schedule.

.614 If the employee works his full regular schedule, then any hours worked in addition thereto are not "instead of" his regular schedule and are not considered as "out of schedule overtime" hours. For any hours worked in excess of his full regular schedule, the employee would be paid regular overtime for hours worked in excess of 8 hours per service day or 40 hours per service week.

.615 Examples: If an employee is notified by Wednesday of the preceding service week to work a temporary schedule the following service week from 6:00 A.M. to 2:30 P.M., instead of his regular schedule from 8:00 A.M. to 4:30 P.M., then the employee is to be paid 2 hours "out of schedule overtime" for the hours worked from 6:00 A.M. to 8:00 A.M. and 6 hours straight time for the hours worked from 8:00 A.M. to 2:30 P.M. If, in this situation the employee continues to work into or beyond the balance of his regular schedule (2:30 P.M. to 4:30 P.M.), then he is to be paid for hours worked in accordance with Exhibit 434.61.

.616 If notice of a temporary change is given to an employee by Wednesday of the preceding service week, even if this change is revised later, the employee can be limited to 40 hours for the service week but he would be paid "out of schedule overtime" for those hours worked outside of, and instead of, his regular schedule. If an employee's regular schedule is Monday through Friday and he is given a temporary schedule of Sunday through Thursday, then the hours worked on Sunday are "out of schedule overtime" hours provided they are worked instead of the employee's regularly scheduled hours on Friday. If, however, the employee also works his regular schedule on Friday, then there can be no "out of schedule overtime" hours; the hours worked on Sunday would be paid as regular overtime hours worked in excess of 40 in the service week.

.617 If notice of a temporary schedule change is *not* given to the employee by Wednesday of the preceding service week, then the employee is entitled to work his regular schedule. Therefore, any hours worked in addition to the employee's regular schedule are not worked "instead of" his regular schedule. Such additional hours worked are not considered as "out of schedule overtime" hours, but rather the employee would be paid regular overtime for hours worked in excess of eight hours per service day or 40 hours per service week.

.618 If a temporary schedule change is made at the request of the employee for his personal convenience and has been agreed to by the employee's collective bargaining representative, or is for another reason stated in 434.623, then the work outside of, and instead of, the employee's regular schedule would be paid at straight time.

.62 Eligibility

.621 Exhibit 434.62 indicates those employees who are eligible to receive "out of schedule overtime."

.622 All leave paid to an employee who is in an "out of schedule" status will be paid at the employer's straight time rate.

.623 An employee may request a schedule change for personal reasons subject to approval by the employee's union steward and supervisor. In this situation, the employee will not be eligible for "out of schedule overtime." Other exceptions to the obligation to pay "out of service overtime" to full-time employees for work performed outside of schedule include:

a. Where the employee's schedule is temporarily changed for details to (1) non-bargaining positions (including officer-in-charge); (2) rural carrier positions; or (3) positions at grade 19 and above.

b. Where the employee's schedule is temporarily changed because he was given a light duty assignment

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Exhibit 434.52a

HOLIDAY WORKED PAY

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	YES[1]	YES[2, 3]	YES[1]	YES[5]	YES[1, 5]	YES[5]	NO[4]
PART TIME REGULAR	▨	YES[2 3]	▨	▨	▨	Yes	NO[4]
PART TIME FLEXIBLE	NO[4]	▨	NO[4]	▨	NO[4]	NO[4]	▨
CASUAL	NO[4]	▨	▨	NO[4]	NO[4]	NO[4]	▨
TEMPORARY	▨	NO[4]	▨	▨	▨	▨	NO[4]

Footnotes:

1. Grades 18 and below only.
2. FLSA nonexempt employees only, including nonexempt postmasters and officers in charge.
3. Postmasters and officers in charge are not eligible for Christmas Worked Pay (See 434.532).
4. Hours worked on a holday are charged to Work Hours, except that part-time flexible employees are eligible for Holiday Worked Pay and Christmas Worked Pay on December 25 only.
5. Under certain conditions, eligible employees may qualify for a "holiday scheduling premium" (See 434.533).

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Exhibit 434.62

OUT OF SCHEDULE OVERTIME

Pay Eligibility Table

RATE SCHEDULE CODE	D(ADPC)	E(EAS)	H(RDS)	K(HQ Op. Svcs.)	N(PDC Craft)	P(PS)	V(Exp. Consultant)
CLASSIFICATION							
FULL TIME	YES[1]	NO[3]	NO	YES	YES[1]	YES[2]	NO
PART TIME REGULAR	▨	NO	▨	▨	▨	NO	NO
PART TIME FLEXIBLE	NO	▨	NO	▨	NO	NO	▨
CASUAL	NO	▨	▨	NO	NO	NO	▨
TEMPORARY	▨	NO	▨	▨	▨	▨	NO

Footnotes:
1. Grades 18 and below only.
2. See special provisions for Security Police Officers covered by the FPSP Agreement in 434.631.
3. See 434.7 for coverage under the Nonbargaining Rescheduling Premium.

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pursuant to Article XIII of the National Agreement or as required by the Federal Employee Compensation Act, as amended.

c. Where the employee's schedule is temporarily changed to allow the employee to make up time missed due to tardiness in reporting for duty.

d. Where an employee's schedule is temporarily changed, but such change was in accord with and permitted by the terms of his bid.

e. Where the employee's schedule is temporarily changed so that the employee may attend recognized training sessions. Such training sessions must be planned, prepared and coordinated programs or courses.

.63 Pay Computation

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.631 *Out of Schedule overtime* is paid to eligibile personnel in addition to the employee's base hourly rate and at 50% of the base hourly rate for all actual work hours up to 8 hours in a service day or 40 hours in a service week. However, such pay is not paid to Security Force employees, covered by the FPSP Bargaining Agreement, for a change in tour of one hour or less and which is of less than 30 days duration or for a change in days off which is of two weeks or less.

.632 For those eligible employees who receive TCOLA (439.1), this premium is paid at 50% of the employee's base rate, plus TCOLA, in those workweeks when FLSA overtime is earned. In workweeks when FLSA overtime is not earned, this premium is calculated in accordance with 434.631.

434.7 Nonbargaining Rescheduling Premium

.71 Definition

"Non-bargaining rescheduling premium" is paid to eligible non-bargaining unit employees for time actually worked outside of, and instead of, their regularly scheduled workweek when less than 7 calendar days notice of the schedule change was given.

.72 Eligibility. All full-time non-bargaining unit employees grade 18 and below who are nonexempt, except for postmasters and officers in charge, are eligible for "non-bargaining rescheduling premium."

.73 Pay Computation

.731 *Non-bargaining* rescheduling premium is paid to eligible personnel in addition to the employee's base hourly rate and at 50% of the base hourly rate for all actual work hours up to 8 hours in a service day or 40 hours in a service week.

.732 For those employees who receive TCOLA (439.1), this premium is paid at 50% of the employee's base rate, plus TCOLA, in those workweeks when FLSA overtime is earned. In those workweeks when FLSA overtime is not earned, this premium is calculated in accordance with 434.731.

435 Severance Pay

435.1 Eligibility

Any career USPS employee who is involuntarily separated and who has been employed continously by the USPS and/or other federal agency for at least 12 consecutive months (without a break in service of three or more consecutive days) immediately prior to the separation is eligible for severance pay, *except* in the following circumstances:

a. The employee is entitled to an immediate retirement annuity.

b. At the time of separation the employee is offered and declines to accept a postion in the USPS or in any other federal agency of like seniority, tenure, and pay within the same commuting area.

c. The employee is separated because of entry in the military service.

d. The employee is separated for cause on charges of misconduct, delinquency, or inefficiency.

e. The employee at the time of separation is receiving compensation as a beneficiary of the Federal Employees Compensation Act, except when receiving this compensation concurrently with postal pay.

435.2 Computing Severance Fund

.21 Limitation. In no case shall the severance pay fund exceed fifty-two weeks basic compensation.

.22 Creditable Service. Creditable service means all service as a paid federal civilian or postal employee and all military service which interrupted a period of paid federal civilian or postal service—excluding any period of federal or postal service for which severance pay has previously been paid.

.23 Paid Allowance. The employee is credited with *one* week's basic compensation (the weekly basic rate of pay, excluding COLA, in effect at the time of separation) for each year of creditable service up to ten years; and with *two* weeks' basic compensation for each year of creditable service in excess of ten years. Each

Hours Worked	Total Work Hours	"Out of Schedule Overtime" Hours	Straight Time Hours	Regular Overtime Hours
6:00 AM—2:30 PM	8	2	6	0
6:00 AM—3:30 PM	9	1	7	1
6:00 AM—4:30 PM	10	0	8	2
6:00 AM—5:30 PM	11	0	8	3

Exhibit 434.61—Computing Out of Schedule Overtime Hours

3-month period of service that exceeds one or more full years of service is computed as 25% of a full year.

a. Employee in Non-Pay Status. In this case, the basic compensation is the basic compensation the employee would have received had he been in a pay status at the time of separation.

b. Part-time Regular Employee. In this case, determine the basic weekly compensation by multiplying the number of hours in the employee's regular schedule by the employee's hourly rate of compensation.

c. Part-time Flexible Employee. In this case (1) divide by 52 the total number of hours—excluding overtime hours but including paid leave hours—that the employee had to his credit during the previous 52 weeks to find the average hours worked per week and (2) multiply the average hours worked per week by the employee's hourly rate of compensation to determine the basic weekly compensation.

.24 Allowance for Age Over 40. The employee's basic allowance is increased by 10% for each full year and by 2½% for each three full months in excess of a full year that the employee's age exceeds 40 years at the time of separation. For example, if the employee's age at the time of separation is 42 years and 7 months, the basic allowance computed in 435.23 above is increased by 25% (10% for each of the two years in excess of 40, and 2½% for each of the two full three month periods in excess of the two full years).

435.3 Pay Rate and Duration

.31 Form 50 Information. The separation Form 50 contains under *Remarks* the total amount of severance pay due, the amount of the weekly payments, and the date of the first and last payments.

.32 Amount and Intervals. The employee receives severance pay each bi-weekly pay period in the amount of twice his basic weekly compensation less withholding for taxes. The severance pay continues until (a) the severance pay fund is exhausted or (b) the employee is reemployed by the USPS or another federal agency—whichever occurs first.

435.4 Effect of Reemployment

.41 Permanent Employment. If an employee who is receiving severance pay is reemployed by the USPS or another federal agency, the employee is recredited with the portion of creditable service covered by the balance of severance pay fund.

.42 Temporary Employment. If an employee who is receiving severance pay accepts a time-limited federal or Postal appointment, severance pay is suspended for the duration of the appointment. Upon termination, severance pay is resumed until the severance pay fund is exhausted. Time served under the limited appointment is not creditable for purposes of computing the severance pay it interrupts.

436 Back Pay

436.1 Corrective Entitlement

.11 An employee or former employee is entitled to receive back pay for the period during which an unjustified or unwarranted personnel action was in effect which terminated or reduced the basic compensation, allowances, differentials, and employement benefits which the employee normally would have earned during the period.

.12 For purposes of entitlement to employment benefits, the employee is considered as having rendered service for the period during which the unjustified or unwarranted personnel action was in effect.

436.2 Limitations

.21 Any amount earned by the employee in a new employment or in an enlarged part-time employment to replace Postal Service employment must be determined and offset against the amount of the reimbursement to which he would be entitled.

.22 Back pay is allowed, unless otherwise specified in the appropriate award or decision, provided the person has made reasonable efforts to obtain other employment.

.23 No back pay is allowed for any perod during which the person was not ready, willing, and able to perform the duties of the postal position.

.24 Leave recredited as a result of the corrective action may not exceed the maximum amount of leave to which the employee was eligible.

.25 The employee is not entitled (a) to increases in pay resulting from deferment of step increases due to unsatisfactory service or (b) to salary increases resulting from ranking action.

.26 Any claim made by a postal employee or his authorized agent or attorney for back pay must be submitted to the appropriate office within 6 full years after the date such claim first accrued.

436.3 Corrective Action

The installation head, or other appropriate authority, determining that a previous decision was unjustified or unwarranted initiates and directs the corrective action to be taken to assure appropriate earnings to the employee for the period affected.

436.4 Documents In Support of Claim

.41 Statements by Local Official

.411 A tabulation of the number and type of pay hours with which the employee should have been credited during the back pay period, including any annual or holiday leave taken.

a. Overtime hours and/or night differential, as applicable, are determined by averaging the number of hours that other employees of the office with the same employment status were assigned during the back pay period.

b. If the claim is for a Part Time Flexible Employee, a tabulation must be provided which shows the number and type of pay hours the employee experienced for a full 13 pay periods prior to the separation or suspension. If the back pay period is less than one full pay period, only a six (6) pay period tabulation is required.

.412 A statement indicating whether the employee is entitled to the following during the back pay period:

a. Premium pay (see 434).
b. Change in pay rate or salary schedule.
c. Step increase and date effective.
d. Change in leave category and date effective.
e. Other changes in pay of a general application.

.413 A statement that, had the employee not been suspended or removed, he would have worked the hours as reported.

.414 Monies earned by the employee for other employment during the period covered by the corrected action shall be deducted, provided such earnings were from work replacing the lost postal employment (see 436.21).

.42 Statements by Employee

.421 A statement signed by the employee agreeing or disagreeing to the hours shown in 436.412. If the employee does not agree, the basis for the disagreement should be explained.

.422 Where the original action resulted in separation or suspension, the employee must furnish the following:

a. A statement on whether or not any income was earned during the back pay period. If any outside earnings were received, provide information on whether the earnings were from a part-time job held at the time of removal or in a new employment or in an enlarged part-time employment obtained to replace the postal employment. In either case, a statement from the employer showing the record of hours worked and gross earnings during the back pay period is necessary.

b. If the employee was already working in a part-time job at the time of removal or suspension, the employer should include the employee's record of employment for the 6-month period prior to the removal or suspension.

c. If outside earnings were from self-employment, an affidavit from the claimant stating the amount earned during the back pay period. If such employment existed before the back pay period, the earnings must also be stated for 13 pay periods prior to the back pay period.

.423 A statement on whether or not the employee received any unemployment compensation. If so, state the amount received.

.424 A statement that the employee was ready and able to perform his job during the back pay period. If not, state inclusive dates not ready and able and the cause by which incapacitated or unavailable. The employee may request payment of sick or annual leave as appropriate and to his credit, for the period of incapacity or unavailability during the back pay period.

.425 If the back pay period is more than 1 year and no outside employment was obtained, make a statement giving the reasons why outside employment was not obtained and furnish a resume of the efforts to secure other employment during the back pay period.

.426 On health benefit and optional life insurance coverage, the employee should state whether he desires (a) to enroll in any plan or option, the same as a new employee, or (b) to have the prior enrollment reinstated retroactive to the date it was terminated.

437 Waiver of Claims for Erroneous Payment of Pay

437.1 Purpose

This part establishes procedures for (a) requesting a waiver of a claim made by the USPS against a current or former employee for the recovery of pay which was erroneously paid and (b) applying for a refund of money paid by or deducted from a current or former employee as a result of such a claim.

437.2 Definitions

.21 Pay. Pay means salary, wages, or compensation for services, including all forms of premium pay, holiday pay, or shift differentials, payment for leave, whether accumulated, accrued, or advanced, and severance pay. Pay does not include rental allowances or payment for travel, transportation, or relocation expenses.

.22 Employee. Throughout part 437, employee means a *former* employee as well as a *current* employee.

.23 Applicant. Applicant means an employee (current or former) or an individual acting on behalf of the employee who applies for a waiver of a claim for overpayment of pay.

.24 Installation Head. Installation head means the postmaster, manager, or director of *field facilities* or the department head (or designee) of *Headquarters units* where the employee is employed or was last employed.

437.3 Submission of Request

.31 Expiration Date. Waiver action may not be taken after the expiration of 3 years immediately following the date on which the erroneous payment of pay was discovered.

.32 Form 3074. The applicant requests a waiver of a claim or a refund of money paid as a result of a claim by submitting Form 3074. *Request for a Waiver of Claim* *for Erroneous Payment of Pay,* in *triplicate* to the installation head. The completed Form 3074 must contain:

a. Information sufficient to identify the claim for which the waiver is sought, including the amount of the claim, the period during which the erroneous payment occurred, and the nature of the erroneous payment.

b. A copy of the invoice and/or demand letter sent by the USPS, if available, or a statement setting forth the date the erroneous payment was discovered.

c. A statement of the circumstances which the applicant feels would justify a waiver of the claim by the USPS.

d. The dates and amount of any payments made by the employee in response to the claim.

437.4 Review by Installation Head

The installation head investigates the claim and writes a report of the investigation on the reverse side of the Form 3074. The report should include the following data and/or attachments.

a. All relevant facts or circumstances not described, or incorrectly described, on the Form 3074 by the applicant.

b. An explanation of the cause of the overpayment.

c. If available, a listing for each pay period in which an overpayment was made (1) of the employee's pay rate (2) the gross amount due the employee, and (3) the gross amount that was actually paid.

d. A statement as to whether there is any indication of fraud, misrepresentation, fault, or lack of good faith on the part of anyone having an interest.

e. A recommendation for approval or disapproval of the claim based upon review of the facts and circumstances.

f. A copy of the invoice or notice to the employee of the amount requested to be repaid to the USPS should accompany the Form 3074. If neither of these items is available, a statement establishing the discovery date of the USPS claim should be included.

g. Copies of pertinent Forms 50, *Notifications of Personnel Action;* Forms 1303, *Salary Change Notices;* and any correspondence having a bearing on the claims should be obtained from the employee's official personnel folder and included with the Form 3074.

h. Any other information which would assist in making a determination of whether collection action to collect the claim would be against equity or good conscience and not be in the best interest of the USPS.

437.5 Review by Compensation Unit

The installation head forwards the Form 3074 to the appropriate compensation unit (i.e., the Regional Compensation Division or the Headquarters Office of Organizational Requirements) which:

a. Reviews the file for accuracy and completeness.

b. Completes part III of Form 3074.

c. Adds any pertinent comments to the file.

d. Forwards the entire file to the Director of the appropriate Postal Data Center (PDC).

437.6 Action by Postal Data Center (PDC)

.61 The PDC will waive the claim if it can determine from a review of the file that all of the following conditions are met:

a. The overpayment occurred through administration error of the USPS. Excluded from consideration for waiver of collection are overpayments resulting from errors in timekeeping, keypunching, machine processing of time cards or time credit, coding, and any typographical errors that are adjusted routinely in process of current operations.

b. Everyone having an interest in obtaining a waiver acted reasonably under the circumstances, without any indication of fraud, misrepresentation, fault, or lack of good faith.

c. Collection of the claim would be against equity and good conscience and would not be in the best interest of the USPS.

.62 If the claim is for more than $1,000, the entire file is forwarded to the Finance Department for final adjudication.

437.7 Appeal of Disallowed Request

.71 Appeal Procedure. When a request for waiver has been partially or completely denied, the applicant may submit a written appeal to the PDC that denied the claim within 15 days of receipt of the determination. The appeal letter should clearly indicate that the employee is appealing the disallowance of the waiver request, and set forth in detail the reasons why the employee believes the claim should be waived.

.72 Final Decision. The PDC will then forward the appeal, with the entire case file, to the General Manager, Accounting Division, Finance Department. The Finance Department will notify the PDC of its determination; the PDC will advise the employee concerned of the decision by Headquarters and, if necessary, will adjust its records. The determination of the General Manager, Accounting Division, Finance Department, is final.

438 Pay During Travel or Training

438.1 Pay During Travel

.11 Definitions

.111 *Travel Time* is time spent by an employee moving from one location to another during which no productive work is performed and excluding the normal meal time if it occurs during the period of travel.

.112 *Local Commuting Area* is the suburban area immediately surrounding the employee's official duty station and within a radius of 50 miles.

.12 Commuting To and From Work

.121 Commuting time before or after the regular work day between one's home and official duty station, or any other location within the local commuting area, is a normal incident of employment and is not compensable. It is not compensable regardless of whether the employee works at the same location all day or commutes home after the work day from a location different from the one where the work day started.

.122 Commuting time to and from work is also not compensable when an employee is called back to work after the completion of the regular work day.

.123 When an employee is employed to work on a permanent basis at more than one location in the same service day, the time spend commuting between the locations is not compensable travel time, provided there is a break in duty status between the work performed in the different locations. A break in duty status occurs when an employee is completely relieved from duty for a period of at least one hour that may be used for the employee's own purposes. This one hour or greater period must be in addition to the actual time spend in travel and the normal meal period, if the normal meal period occurs during the time interval between the work at the different locations. (See 438.132 for travel time between job locations when there is no break in duty status.)

.13 Types of Compensable Travel Time

.131 General. The determination of whether travel time is compensable or not depends upon (1) the kind of travel involved, (2) when the travel takes place, and (3) the eligibility of the employee. (See exhibit 438.13.) The three situations that may involve compensable travel time are described below.

.132 *Travel from Job Site to Job Site*

a. Rule. Time spent at any time during a service day by an eligible employee in travel from one job site to another without a break in duty status within a local commuting area is compensable. (See 438.123 which makes the travel time noncompensable as commuting time when there is a break in duty status between the work performed in different locations.)

b. Eligibility. This type of travel time is compensable for all employees during their established hours of service on a scheduled work day. At all other times, this type of travel time is compensable only for employees entitled to receive overtime pay or compensatory time.

.133 *One Day Assignment Outside the Local Commuting Area*

a. Rule. Except as stated in the next sentence, time spent at any time during a single service day by an eligible employee in travel on Postal Service business to one or more locations outside of the local commuting area and back to the home community is compensable. Time spent commuting in either direction between home and an airport, bus terminal, or railroad station within the local commuting area, if it occurs outside of established hours of service on a scheduled work day, and the usual meal time, must be deducted from compensable travel time.

b. Eligibility. This type of travel time is compensable for all employees during their established hours of service on a scheduled work day. At all other times, this type of travel time is compensable only for employees entitled to receive overtime pay or compensatory time.

Public Library, Newark, N. J.

.134 *Travel Away from Home Overnight*

a. Rule. Travel time spent by an eligible employee in travel on Postal Service business to and from a postal facility or other work or training site which is outside the local commuting area and at which the employee remains overnight is compensable if it coincides with the employee's normal work hours at the home installation, whether on a scheduled or a nonscheduled day, subject to 438.141 and 438.142. For instance, if an eligible employee with a regular schedule of 8:00 am to 4:30 pm, Monday through Friday, travels from 2:00 pm to 5:00 pm on any day of the week, 2.50 hours would be compensable. If the same employee travels from 5:00 pm to 8:00 pm on any day of the week, no hours would be compensable. Compensable travel time includes the time spent in going to and from an airport, bus terminal, or railroad station.

b. Eligibility. This type of travel time is compensable for all employees on their scheduled work days. On nonscheduled days, this type of travel time is compensable only for nonexempt employees.

c. Intermediate Travel Home. Employees who are on an extended assignment away from home may be given the opportunity during the assignment to return home for personal convenience. The travel time involved in such intermediate travel home and return is not compensable. (See ELM 717.12.)

d. Scheduling of Travel. Travel away from home overnight is to be scheduled by management on a reasonable basis without a purpose either to avoid compensation for the travel time or to make the travel time compensable.

Type of Travel	Scheduled Day		Non-scheduled Day	
	Within Established Hours of Service	Outside of Established Hours of Service	Within Established Hours of Service	Outside of Established Hours of Service
Job Site to Job Site	All employees	Employees entitled to receive overtime pay or compensatory time	Employees entitled to receive overtime pay or compensatory time	Employees entitled to receive overtime pay or compensatory time
One-Day Assignment Outside Local Commuting Area	All employees	Employees entitled to receive overtime pay or compensatory time	Employees entitled to receive overtime pay or compensatory time	Employees entitled to receive overtime pay or compensatory time
Away from Home Overnight	All employees	None	All nonexempt employees	None

Exhibit 438.13 Eligibility for Travel Time Compensation

.14 Special Travel Provisions

.141 Use of Private Automobile for Personal Convenience. If an eligible employee traveling away from home overnight is offered public transportation but utilizes a personally owned conveyance for personal convenience, only the lesser of the time spent actually driving or those creditable hours which would have been spent in travel by public transportation will be compensated.

.142 Required Use of an Automobile. All time spent actually driving an automobile while traveling away from home overnight because no public transportation is available is compensable travel time for an eligible employee whether the time occurs within or outside of the employee's established hours of service.

.143 Work Performed While Traveling. Any time spent in actual work by an eligible employee that is required or suffered or permitted to be performed while traveling is compensable.

.15 Compensation Provisions

.151 Compensable travel time is counted as worktime for pay purposes and is included in hours worked in excess of 8 hours in a day, 40 hours in a week, or on a non-scheduled day for a full-time employee, for the determination of overtime or compensatory time for eligible employees. (See 433 and 434.1.)

.152 Out of schedule overtime, non-bargaining rescheduling premium, and guaranteed time are not payable to employees while traveling away from home overnight.

.153 Night differential is paid to eligible employees during those hours of compensable travel between 6 pm and 6 am on either a scheduled or non-scheduled day.

.16 Effect on Other Travel Reimbursement

The rules stated in this section 438.1 do not affect the entitlement of employees to other types of reimbursement under applicable regulations, such as reimbursement of certain travel expenses and per diem.

438.2 Pay During Training

.21 General

.211 An Interpretative Bulletin of the U.S. Department of Labor, section 785.27 of Title 29, Code of Federal Regulations provides as follows:

a. Attendance at lectures, meetings, training programs and similar activities need not be counted as working time if the following four criteria are met:

(*1*) Attendance is outside of the employee's regular working hours;

(*2*) Attendance is in fact voluntary;

(*3*) The course, lecture, or meeting is not directly related to the employee's job; and

(*4*) The employee does not perform any productive work during such attendance.

b. If any one of the four criteria is not met the time must be counted as working time. (See exception in .213.)

Note: If the postal training imparts knowledge and skills uniquely beneficial to the Postal Service, it is to be considered as time worked whether related directly to the employee's job or not.

.212 Section 785.28 of the Interpretative Bulletins provides that attendance "is not voluntary in fact if the employee is given to understand or led to believe that his present working conditions or the continuance of his employment would be adversely affected by nonattendance."

.213 Section 785.30 of the Interpretative Bulletins provides as follows:

> Of course, if an employee on his own initiative attends an independent school, college or independent trade school after hours, the time is not hours worked for his employer even if the courses are related to his job.

.22 Specific Rules on Compensation for Training Time

.221 The determination of whether time spent in training is compensable depends upon (a) when the training takes place; (b) the category of training, subject to applicable limitations on paid training hours (see ELM 711.5 and 712); and (c) the eligibility of the employee.

.222 All employees are eligible for compensation for any training time occurring during their established hours of service on a scheduled work day. For purposes of the preceding sentence, any leave time is not considered *established hours of service on a scheduled work day*.

.223 Nonexempt employees are eligible for compensation for *job training* time and for *developmental training* time suffered or permitted outside their established hours of service on a scheduled work day. (See ELM 711.5 for categories of training and 712 for provisions relevant to controlling compensable training time occurring outside established hours of service.)

.224 No employees are eligible for compensation for any type of *self-developmental* training occurring outside their established hours of service on a scheduled work day. (See ELM 711.5 for categories of training.)

.23 Special Training Provisions

.231 Management agreement to fund wholly or partially the tuition and related costs of a course or courses given by an accredited educational institution when such agreement is made at the request of an employee does not cause the training to become job or developmental training so as to make the training time compensable.

.232 Attendance at training courses sponsored by the various management associations or labor unions is not compensable.

.24 Compensation Provisions

.241 Compensable training time is counted as work time for pay purposes, including the determination of overtime for eligible employees. It is included in hours worked in excess of 8 hours in a day or 40 hours in a week, as well as those hours worked by a full-time bargaining unit employee on a non-scheduled day. Compensatory time off, however, is not granted for any training time.

.242 Management may change either a nonexempt or an exempt employee's regularly scheduled working hours to coincide with the scheduled hours of training. In such cases, out of schedule overtime (434.6), or the nonbargaining rescheduling premium (434.7), is not authorized.

.243 Employees eligible for night differential who participate in on-the-clock training are paid the applicable night differential they would have earned during their regularly scheduled work hours had they not been temporarily rescheduled by management to attend such training. Night differential and/or Sunday premiums are paid to all eligible employees whose training hours include night and/or Sunday hours.

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439 Territorial Cost-of-Living Allowance (TCOLA)

439.1 Eligibility and Pay Factors

.11 TCOLA is an amount payable to postal employees working outside of the continental United States according to 39 U.S.C. 1005(b).

.12 The amount of TCOLA is a percentage of basic salary (not including COLA). The percentage figure is determined and published periodically by the Office of Personnel Management. USPS Office of Organizational Requirements then issues appropriate instructions to the affected regions. It is payable as follows:

a. For postal inspectors and rural carriers on a 6-day week, TCOLA is payable up to 48 hours per week.
b. For all other eligible employees, TCOLA is payable up to 40 hours per week.

.13 TCOLA is not paid for any time for which an employee does not receive base pay.

.14 Payment of TCOLA does not constitute an equivalent increase for step increase purposes.

.15 TCOLA is not included in the *base pay* for purposes of computing postal overtime, Sunday premium, night differential, holiday leave pay, holiday worked pay, and deductions for employee benefits plans such as life insurance and Civil Service retirement. See special provisions for the calculation of Christmas worked pay and holiday scheduling premium at 434.534, out-of-schedule overtime at 434.632, and nonbargaining rescheduling premium at 434.732.

.16 TCOLA is included in the calculation of the regular rate for overtime under the Fair Labor Standards Act (FLSA) and for the purpose of computing leave pay.

.17 Basic TCOLA is not included in the employee's gross income for Federal Income Tax purposes. However, all overtime pay (including any TCOLA added to *base pay* for FLSA (overtime) is included in gross income for Federal Income Tax purposes.

439.2 Allowance Categories

.21 Annually, instructions are issued to each installation head outside the continental United States to determine the applicable allowance category of all employees. The installation head should adopt whatever methods are appropriate to obtain from employees the information needed to determine the applicable allowance category and the corresponding allowance to be paid.

.22 Currently, the Postal Service has employees only in the Local Retail/Private Housing allowance category. This category includes those Federal employees who purchase goods and services only from private retail establishments and who occupy housing units that are privately owned or rented.

Chapter 5

Employee Benefits

510 Leave

511 General

511.1 Administration Policy

The U. S. Postal Service policy is to administer the leave program on an equitable basis for all employees, considering (a) the need of the USPS and (b) the welfare of the individual employee.

511.2 Responsibilities

.21 Postal officials:

a. Administer the leave program.
b. Inform employees of their leave balance.
c. Approve or disapprove requests for leave.
d. Record leave in accordance with Handbook F-21, *Timekeepers Instructions.*
e. Control unscheduled absences (see 511.4).

.22 Postal Data Centers (PDCs):

a. Maintain official leave records.
b. Provide leave data to installations *when employees are being separated.*

.23 Postal employees:

a. Request leave by completing Form 3971.
b. Obtain approval of Form 3971 before taking leave—except in cases of emergencies.
c. Avoid unnecessary forfeiture of annual leave.

511.3 Eligibility

.31 Employees covered by the leave program are:

a. Full-time employees.
b. Part-time regular employees.
c. Part-time flexible employees.

.32 Employees not covered by the leave program are:

a. Temporary employees, including leave replacements for postmasters in CAG L post offices.
b. Casual employees.
c. Employees who work on a fee or contract basis, such as job cleaners.
d. Employees appointed *off the street* who work as officers-in-charge at CAG L post offices.

511.4 Unscheduled Absence

.41 Definition. *Unscheduled absences* are any absences from work which are not requested and approved in advance.

.42 Management Responsibilities. To control unscheduled absences, postal officials:

a. Inform employees of leave regulations;
b. Discuss attendance records with individual employees when warranted;
c. Maintain and review Forms 3972, *Absence Analysis,* and Forms 3971, *Request For, or Notification of, Absence.*

.43 Employee Responsibilities. Employees are expected to maintain their assigned schedule and must make every effort to avoid unscheduled absences. In addition, employees must provide acceptable evidence for absences when required.

512 Annual Leave

512.1 General

.11 Purpose

Annual leave is provided to employees for rest, for recreation, and for personal and emergency purposes. No employee is credited at the beginning of a leave year with more than 30 days of previously accumulated annual leave—except for those employees who on January 1, 1953, prior to the passage of PL 102, had more than 30 days of accumulated leave to their credit.

.12 Definitions

.121 Leave Year. The *leave year* begins with the first day of the first complete pay period in a calendar year. It ends on the day before the first day of the first complete pay period in the following calendar year.

.122 Accumulated Leave. *Accumulated leave* is the total unused leave which remains to the credit of the employee at the beginning of any leave year.

.123 Current Leave. *Current leave* is leave which an employee earns by biweekly pay periods during the current leave year.

.124 Accrued Leave. *Accrued leave* is leave which is earned but is unused by an employee during any period during the current leave year.

.13 Eligibility

.131 The following employees earn annual leave:

a. Full-time employees.
b. Part-time regular employees.
c. Part-time flexible employees.

.132 The following employees do not earn annual leave:

a. Temporary employees, including leave replacements for postmasters in CAG L post offices.

b. Casual employees.

c. Employees who work on a fee or contract basis, such as job cleaners.

d. Employees appointed off the street who work as officers-in-charge at CAG L post offices.

512.2 Computing Annual Leave Category

.21 Federal Civilian Service

.211 General Policy. Both military and civilian service are used in computing the years of service which determine an employee's annual leave category. Note:

a. Leave credit is not allowed for both civilian and military service which cover the same period of time.

b. Leave credit is allowed for an employee's entire period of absence for active military service—even though the employee is carried on postal rolls in a furlough status.

.212 Service Counted. The following federal civilian service is used in computing annual leave category:

a. Service performed while an employee of the U.S. Postal Service or Post Office Department. This shall include casual or temporary service if performed before January 1, 1977.

b. Service with the Federal Government (excluding temporary appointments or the District of Columbia (excluding temporary appointments) regardless of breaks in such service.

c. Time on USPS rolls during which an employee served as a substitute rural carrier (not just the dates on which actual service was performed) if the time is creditable for civil service retirement purposes.

.22 Military Service

.221 General Policy. See 512.211.

.222 Service Counted. The following military service is used in computing annual leave category:

a. Periods of active service terminated by honorable discharge or transfer to inactive reserves under honorable conditions. Active service may be in the Army, Air Force, Navy, Marine Corps, and Coast Guard.

b. Service performed by employees who are members of the National Guard Service or Air National Guard Service only during periods of active duty with the U.S. Army or U.S. Air Force.

c. Service performed by Naval Reserve Officers Training Corps students during periods of active duty or training duty as members of the Naval or Marine Corps Reserve.

.223 Retired Military Personnel

a. Full Credit. Full leave accrual credit for all of active military service is granted if a military retiree meets one of the following three conditions:

(*1*) Retirement was based on disability resulting from injury or disease received in the line of duty as a direct result of armed conflict.

(*2*) Retirement was based on disability caused by an instrumentality of war and incurred in the line of duty during a period of war as defined in *United States Code* (U.S.C.), Title 38, Sections 101 and 301.

(*3*) On November 30, 1964, the employee was employed in a civilian office to which the *Annual and Sick Leave Act* applied and continues to be employed in a civilian capacity without a break in civilian service of more than 30 days. Note:

- A military retiree who as a military reservist or member of the National Guard was called from civilian employment to active military duty before November 30, 1964, and after that date was restored to a civilian position (under U.S.C., Title 5, Section 3551) does not meet this condition.
- Section 3551 provides only for restoration; therefore, the employee is not considered as having been on military furlough or leave of absence from a civilian position or as having been employed on November 30, 1964, in a civilian position to which section 6303(a), the former *Annual and Sick Leave Act,* applied.

b. Partial Credit. Military retirees who do not qualify for full leave accrual credit can qualify for partial credit based on the following:

(*1*) Service for computing leave is restricted to the actual length of time in active service in the armed forces during any war or in any non-wartime campaign/expedition for which a campaign badge was authorized.

(*2*) Service in a nonwartime campaign/expedition does *not* entitle the military retiree to credit for the duration of the campaign/expedition but only for the period of service in the campaign or expedition.

(*3*) Exhibit 512.223b provides data about wars and campaigns/expeditions for which campaign badges were authorized.

c. Verification. Military service should be verified:

(*1*) *Disability Retirements.* Request verification from the records center of the appropriate military branch.

(*2*) *Wartime Service.* Verify from discharge certificates (e.g., DD Form 214).

(*3*) *Campaign/Expeditionary Service.* Verify by sending a completed CSC Form 813, *Request for Verification of Military Service,* to the appropriate military records center.

(*4*) *Military Records Centers.* Addresses and other data necessary to verify service are included in Exhibit 512.223c (reprinted from SF 180, *Request Pertaining to Military Records*).

a. Wars since April 6, 1917. (Participating branches are indicated by "x".)

War	Inclusive Dates	Army	Navy	Air Force[1]	Marine Corps	Coast Guard
World War I	Apr. 6, 1917, to July 2, 1921	x	x		x	x
World War II	Dec. 7, 1941, to Apr. 28, 1952[2]	x	x	x	x	x

b. Non-wartime campaigns/expeditions since April 12, 1911, for which campaign badges (service medals) were authorized. (Participating branches are indicated by "x".)

Campaign/Expedition	Inclusive Dates	Army	Navy	Air Force[1]	Marine Corps	Coast Guard
Mexican Expedition (periodic)	Apr. 12, 1911, to June 16, 1919	x				
	Apr. 21, 1914, to Feb. 7, 1917		x		x	
Nicaraguan Campaign	July 29, 1912, to Nov. 14, 1912		x		x	
Haitian Campaign	July 9, 1915, to Dec. 6, 1915		x		x	
Dominican Campaign	May 5, 1916, to Dec. 4, 1916		x		x	
Army of Occupation of Germany World War I.	Nov. 12, 1918, to July 11, 1923	x	x		x	
Second Haitian Campaign	Apr. 1, 1919, to June 15, 1920		x		x	
Second Nicaraguan Campaign	Aug. 27, 1926, to Jan. 2, 1933		x		x	
Yangtze Service	Sept. 3, 1926, to Oct. 21, 1927		x		x	
Yangtze Service	Mar. 1, 1930, to Dec. 31, 1932		x		x	
Yangtze Service	Feb. 4, 1932, to July 5, 1932	x				
China Service	July 7, 1937, to Sept. 7, 1939		x		x	
American Defense Service[3]	Sept. 8, 1939, to Dec. 7, 1941	x	x		x	x
Navy Occupation of Trieste	May 9, 1945, to Oct. 26, 1954		x			x
Army of Occupation of Berlin	May 9, 1945, to—(still open)	x	x	x	x	x
Army of Occupation of Germany (exclusive of Berlin).	May 9, 1945, to May 5, 1955	x	x	x		x
Army of Occupation of Austria	May 9, 1945, to July 27, 1955	x		x		
Navy Occupation of Austria	May 9, 1945, to Oct. 25, 1955		x			x
Units of the Sixth Fleet (Navy)	May 9, 1945, to Oct. 25, 1955		x			
China Service Medal (Extended)	Sept. 2, 1945, to Apr. 1, 1957		x		x	x
Korean Service	June 27, 1950, to July 27, 1954	x	x	x	x	x
Armed Forces Expeditionary Medal for these operations:						
Berlin	Aug. 14, 1961, to June 1, 1963	x	x	x	x	x
Lebanon	July 1, 1958, to Nov. 1, 1958	x	x	x	x	x
Quemoy and Matsu Islands	Aug. 23, 1958, to June 1, 1963	x	x	x	x	x
Taiwan Straits	Aug. 23, 1958, to Jan. 1, 1959	x	x	x	x	x
Cuba	Oct. 24, 1962, to June 1, 1963	x	x	x	x	x
Congo	July 14, 1960, to Sept. 1, 1962 and Nov. 23 to 27, 1964.	x	x	x	x	x
Laos	Apr. 19, 1961, to Oct. 7, 1962	x	x	x	x	x
Dominican Republic	Apr. 28, 1965, to Sept. 21, 1966	x	x	x	x	x
Korea	Oct. 1, 1966, to (to be announced)	x	x	x	x	x
Vietnam (incl. Thailand)	July 1, 1958, to July 3, 1965	x	x	x	x	x
Vietnam Service Medal	July 3, 1965, to (to be announced)	x	x	x	x	x

[1] The United States Air Force became a separate branch of the armed forces of the United States on September 18, 1947.

[2] The effective date of the Treaty of Peace with Japan which officially terminated World War II.

[3] Claimants for veteran preference based on service between September 8, 1939, and December 7, 1941, must meet the requirements for campaign service. The award of an American Defense Service Medal does not prove service in a campaign or expedition for which a campaign badge was authorized. However, the requirement of campaign service is met if, in addition to this medal, the recipient is awarded a service clasp (bearing the inscription *Foreign Service* if Army; *Fleet* or *Base* if *Navy; Fleet, Sea* or *Base* if Coast Guard); or a bronze star for service outside the continental limits of the United States.

[4] There are over 100 Navy Expeditions; the latest three are:
—Republic of Haiti—December 4, 1929 to August 5, 1931;
—Thailand Military Operation—May 16, 1962 to August 10, 1962;
—Cuban Military Operation—January 3, 1961 to October 23, 1962

Exhibit 512.223b—Wars and Campaigns/Expeditions for Which Campaign Badges Were Authorized.

LOCATION OF MILITARY PERSONNEL AND MEDICAL RECORDS

The various categories of Military Personnel Records are described below. For each category there is a CODE number which indicates the address at the bottom of the page to which this request should be forwarded. For each military service there is a NOTE explaining approximately how long the records are held by the military services before they are transferred to the National Personnel Records Center, St. Louis. Please read these notes carefully and make sure you send your inquiry to the right address. (If the person has two or more periods of service within the same branch, send your request to the office having the record for the last period.)

	CATEGORY OF RECORDS AND WHERE TO WRITE ADDRESS CODE	Code No.
AIR FORCE	Active members (incl. Nat'l Guard on active duty in Air Force); TDRL**; and general officers retired with pay.	1
	Reserve: retired reservist in non-pay status; current Nat'l Guard officers not on active duty in Air Force; and Nat'l Guard released from active duty in Air Force.	2
	Current Nat'l Guard enlisted not on active duty in Air Force.	13
	Discharged: deceased; and retired with pay (less general officers retired with pay).	14
	NOTE: Air Force records are transferred to NPRC* as soon as processed—about 30 days after separation.	
COAST GUARD	Active, reserve and TDRL** members plus officers separated before 1-1-29.	3
	Discharged, deceased, and retired members, except officers separated before 1-1-29—see item above.	14
	NOTE: Coast Guard officer records are transferred to NPRC* 3 months after separation; enlisted records after 6 months.	
MARINE CORPS	Active and TDRL** members, reserve officers, Class II & III enlisted reserve, and Fleet Marine Corps Reserve.	4
	Class III Reservists (Inactive).	5
	Discharged, deceased, and retired.	14
	NOTE: Marine Corps records are transferred to NPRC* 4 months after separation.	

	CATEGORY OF RECORDS AND WHERE TO WRITE ADDRESS CODE	Code No.
ARMY	Officers separated before 7-1-17 and enlisted separated before 11-1-12.	6
	Reserve; TDRL**; living retired members less general officers; active duty records of current Nat'l Guard members who performed service in the U.S. Army prior to 1 July 1972.***	7
	Active officers (incl. Nat'l Guard on active duty in U.S. Army) and retired general officers.	8
	Active enlisted (incl. Nat'l Guard on active duty in U.S. Army).	9
	Current Nat'l Guard officers not on active duty in U.S. Army.	12
	Current Nat'l Guard enlisted not on active duty in U.S. Army.	13
	Discharged and deceased members, except old records in Nat'l Archives—see first category under Army.	14
	NOTE: Army records are transferred to NPRC* as soon as processed—about 30 days after separation.	
NAVY	Active and TDRL** members, reserve officers, and enlisted reserve in drill status.	10
	Discharged, deceased, retired, and enlisted reserve status pool.	14
	NOTE: Navy officer records are transferred to NPRC* 1 year after separation; active enlisted after 6 months; and enlisted reserve status pool 18 months prior to discharge date.	
	Medical record of Navy/Marine Corps personnel with active or reserve status.	11
	NOTE: Medical records transferred to NPRC* 6 months after retirement or complete separation.	

*NPRC: National Personnel Records Center   **TDRL: Temporary Disability Retired List

***Code 12 applies to active duty records of current Nat'l Guard officers who performed service in the U.S. Army after 30 June 1972.

***Code 13 applies to active duty records of current Nat'l Guard enlisted members who performed service in the U.S. Army after 30 June 1972.

ADDRESS LIST OF CUSTODIANS—WHERE TO WRITE FOR EACH CATEGORY OF RECORDS

1	USAF Military Personnel Center Military Personnel Records Division Randolph AFB, TX 78148	5	Marine Corps Reserve Forces Class III 1500 E. Bannister Road Kansas City, MO 64131	8	The Adjutant General ATTN: AGPF Department of the Army Washington, D.C. 20310	12	National Guard Bureau Washington, D.C. 20310
2	Air Reserve Personnel Center 3800 York Street Denver, CO 80205	6	Military Archives Division National Archives & Records Service General Services Administration Washington, D.C. 20408	9	Commander U.S. Army Enlisted Personnel Records Center Ft. Benjamin Harrison, IN 46249	13	The Adjutant General of the Appropriate State; D.C.; or Puerto Rico
3	Commandant U.S. Coast Guard Washington, D.C. 20590	7	Commander U.S. Army Reserve Components Personnel & Administration Center 9700 Page Boulevard St. Louis, MO 63132	10	Chief of Naval Personnel Department of the Navy Washington, D.C. 20370	14	National Personnel Records Center (Military Personnel Records) 9700 Page Boulevard St. Louis, MO 63132
4	Commandant of the Marine Corps Headquarters, U.S. Marine Corps Washington, D.C. 20380			11	Bureau of Medicine and Surgery Department of the Navy Washington, D.C. 20390		

Exhibit 512.223c—Military Records

512.3 Accrual and Crediting

.31 Full-Time Employees

.311 Accrual Chart. Full-time employees earn annual leave based on number of creditable years of service:

Leave Category	Creditable Service	Maximum Leave Per Year
Category 4	Less than 3 years	4 hours for each full biweekly pay period; i.e., 104 hours (13 days) per 26-period leave year.
Category 6	3 years but less than 15 years.	6 hours for each full biweekly pay period; i.e., 160 hours (20 days) per 26-period leave year.
Category 8	15 years or more.	8 hours for each full biweekly pay period; i.e., 208 hours (26 days) per 26-period leave year.

.312 Credit At Beginning Of Leave Year. Full-time employees are credited at the beginning of the leave year with the total number of annual leave hours that they will earn for that leave year.

.313 Changes In Employee's Accrual Rate. Leave credit at the beginning of the leave year reflects any change in an employee's accrual rate for that year.

.314 Change From Part-Time To Full-Time. An employee who changes from a part-time to a full-time employee after the start of a leave year is credited with the annual leave to be earned for the remainder of the leave year.

.315 Nonpay Status. Leave credit for periods in which an employee is in nonpay status is reduced during the leave year as follows:

a. When an employee's absence in nonpay status totals the equivalent of one pay period of regular service during the leave year (10 days or 80 hours), credit for leave is reduced by the amount of leave earned by the employee in a pay period. Note:

(*1*) For rural carriers who are required to work 6 days a week, the equivalent of one pay period is 12 days or 96 hours.

(*2*) For J route carriers, the equivalent of one pay period is 11 days or 88 hours.

b. When an employee has one or more breaks in service during the leave year, all hours in nonpay status (during periods in which the employee earned annual leave) are totaled to reduce leave credits.

.32 Part-Time Employees

.321 Accrual and Crediting Chart. Part-time employees earn annual leave based on the number of hours in which they are in pay status. See Exhibit 512.321.

.322 Biweekly Crediting. Leave accrues and is credited in whole hours at the end of each biweekly pay period. All hours in pay status which cannot be credited for leave purposes (512.321) are dropped when:

a. The leave year ends.

b. The employee's status is changed from part-time to full-time.

c. The employee is removed from the rolls for any cause.

.323 Exceptions. Exceptions to the crediting rule in 512.322 follow:

a. Part-time regular schedule employees are credited with annual leave on a pro rata basis, according to their authorized daily schedules. Employees with one year or more of service may be credited at the beginning of the leave year with the annual leave which they will earn during the leave year. They are entitled to additional leave hours, based on their leave category, for each 20, 13, or 10 hours of work in excess of the schedule. (See Chart 512.321.)

b. Auxiliary rural carriers (Designation 77), including substitute rural carriers in dual appointments are credited with annual leave for actual service performed. If auxiliary rural carriers are otherwise employed (e.g., clerks in the post office) such additional service is also used in the computation of leave credit; otherwise they are credited as instructed in 512.321.

.33 Appointees

.331 Rate of Leave Accrual

The rate of leave accrual for a new employee (whether appointed, reinstated, or transferred) *will be promptly determined.* It is based on creditable service, both civilian and military (see 512.2).

.332 90-Day Qualifying Period

a. Requirement. A new employee is not credited with annual leave until completion of 90 days of continuous employment under one or more appointments without a break in service.

b. Break in Service. A break in service of one or more workdays breaks the continuity of employment. Any further employment requires beginning a new 90-day period. (For substitute rural carriers, see 512.552.)

c. Active Military Service. Active military service for an employee *not entitled to mandatory restoration* is a break in civilian service. The employee begins a new 90-day qualifying period for leave purposes.

d. Full-Time Employees. After new employees complete the 90-day qualifying period, they *are* credited with annual leave to be earned during the remainder of the leave year plus the leave earned during the qualifying period.

e. Part-Time Employees. After part-time employees complete the 90-day qualifying period, annual leave which they have accrued is credited to their accounts.

.333 Partial Pay Period

a. Any employee whose appointment is made effective after the first Monday of a pay period does not receive leave credit for service performed during that pay period. Part-time employee thus appointed do not have their service hours brought forward for leave purposes for that pay period.

b. An employee transferring from an agency having different pay periods may be given credit for the partial period.

512.4 Authorizing Annual Leave

.41 Application

.411 General. *Except for emergencies,* annual leave for all employees except postmasters must be requested on Form 3971 and approved in advance by the appropriate supervisor. Leave requests from rural carriers must be approved in accordance with Article 10 of the *USPS—NRLCA National Agreement.*

.412 Emergencies. An exception to the advance approval requirement is made for emergencies; *however, in these situations,. the employee must notify appropriate postal authorities as soon as possible as to the emergency and the expected duration of the absence.* As soon as possible after return to duty, employees must submit Form 3971 and explain the reason for the emergency to their supervisor. Supervisors approve or disapprove the *leave request. When the request is disapproved, the absence may be recorded as LWOP or AWOL at the discretion of the supervisor as outlined in 512.422.*

.42 Form 3971, Request for, or Notification of, Absence

.421 Purpose. *Application for annual leave is made in writing, in duplicate, on Form 3971, Request for, or Notification of, Absence.*

.422 Approval/Disapproval. *The supervisor is responsible for approving or disapproving application for an-*

Leave Category	Years of Creditable Service	Maximum Leave Per Year	Rate of Accrual	Hours in Pay Status	Hours of Leave Earned Per Period
Category 4	Less than 3 years	104 hours, or 13 days per 26-period leave year or 4 hours for each biweekly pay period	1 hour for each unit of 20 hours in pay status.	20	1
				40	2
				60	3
				80	4 (max.).
Category 6	3 years but less than 15 years.	180 hours, or 20 days per 26-period leave year or 6 hours for each full biweekly pay period.	1 hour for each unit of 13 hours in pay status.	13	1
				26	2
				39	3
				52	4
				65	5
				78	6 (max.)*
Category 8	15 years or more.	208 hours, or 26 days per 26-period leave year or 8 hours for each full biweekly pay period.	1 hour for each unit of 10 hours in pay status.	10	1
				20	2
				30	3
				40	4
				50	5
				60	6
				70	7
				80	8 (max.).

* Except that the accrual for the last pay period may be 10 hours, provided the employee has 130 creditable hours or more in a pay status for leave purposes.

Recording Carryover Hours for Annual and Sick Leave

a. Units of hours in a pay status are converted into annual leave credits at the rate of 1 hour for each unit of 20, 13, or 10 hours in a pay status—up to a maximum of 4, 6, or 8 hours per biweekly pay period, depending on the employee's leave category.

b. Hours in a pay status in excess of these whole units are accumulated and carried forward as excess work hours. These excess (uncredited) work hours are added to hours in a pay status in the next period.

c. Whole units of creditable hours (20, 13, or 10) are then converted into leave hours at the unit rate—provided no more leave is credited to a part-time employee than could be earned in the same leave year by a full-time employee.

d. The maximum credit allowable for a particular leave category is calculated by multiplying the period number by the number of leave hours allowable per period.

Exhibit 512.321—Accrual and Crediting Chart

nual leave by signing the Form 3971, a copy of which is given to the employee. If a supervisor does not approve an application for leave, the disapproved block on the Form 3971 is checked and the reasons given in writing in the space provided. When a request is disapproved, the granting of any alternate type of leave, if any, must be noted along with the reasons for the disapproval. AWOL determinations must be similarly noted.

.423 Retention Period. Forms 3971 are retained by the installation head for two years *from the date the leave is taken or disapproved.*

.43 Insufficient Leave Balance

If the leave is approved and the employee has an insufficient leave balance, the PDC automatically changes annual leave to LWOP when processing the employee's pay.

512.5 Leave Charge Information

.51 Full-Time Employees

.511 Minimum Unit Charge

Employee Category	Minimum Unit Charge
a. All full-time employees, including postmasters in post offices with 36 Revenue Units and above—*except* those listed in items b-f.	Hundredth of an hour (.01 hour)
b. Postmasters in CAG L offices (revenue units of 35 and below)	Half day (4 hours) (See 512.515 for exception)
c. Postal inspectors	1 day (8 hours)
d. Rural carriers	1 day (8 hours)
e. Substitute rural carriers (1) serving a vacant route or (2) serving in absence of rural carriers on extended leave	1 day (8 hours)
f. Triweekly rural carriers	(See 512.54)

.512 Additional Leave. Additional leave is granted in multiples of whole hours.

.513 Holidays. Leave cannot be charged for national legal holidays, days designated as holidays, or absences authorized by administrative order.

.514 Leave for Postmasters and Installation Heads. These employees must (a) promptly report emergency or planned absences exceeding 5 working days to their postal managers and (b) maintain accurate records of their leave.

.515 Saturday Absences (Postmasters In Offices With 35 Revenue Units And Below). These employees work a 6-day week. No charge is made for Saturday absence when it is included in an extended period of leave. A single Saturday absence is charged as one day (8 hours) of leave.

.516 Rural Carriers (Regular and Substitute). (See 512.53 and 512.55.)

.52 Part-Time Employees

.521 Minimum Unit Charge

Employee Category	Minimum Unit Charge
Part-Time Regular Employee	One hundredth of an hour (.01 hour)
Part-Time Flexible Employee	One hundreth of an hour (.01 hour)

.522 Part-Time Regular. A part-time employee who is granted annual leave and performs service on the same day is not allowed to work more hours than would total 8 hours when combined with leave hours.

.523 Part-Time Flexible.

a. A part-time flexible employee who has been credited with 40 hours or more of paid service (work, leave, or a combination of work and leave), in a service week is not granted paid annual or sick leave during the remainder of that service week. Absences in such cases are treated as non-duty time, not chargeable to paid leave of any kind. Supervisors should avoid granting leave resulting in the requirement for overtime pay.

b. Part-time flexible employees who request leave on days that they are scheduled to work, except legal holidays, may be granted leave provided they can be spared. Leave charged cannot exceed 8 hours on any one day. The installation head may also consider a request for annual leave on any day a part-time flexible is not scheduled to work. The 40 hours paid service in a service week specified in 512.523a may not be exceeded.

.53 Rural Carriers

.531 General. Annual leave is granted to a rural carrier in accordance with 512.311 and the terms of the applicable collective bargaining agreement. It is granted in minimum units of one day, provided a replacement is available.

.532 Saturday Absences. Rules for approved absences of rural carriers (or substitute rural carriers) are subject to the specific conditions of the *USPS—NRLCA National Agreement.* Accordingly:

a. Absence on Saturday which occurs within or at the beginning or end of a period of annual leave or sick leave is not charged to such leave nor is there loss of compensation—provided:

(*1*) There are 5 or more days of annual or sick leave within the period (or)

(*2*) There are 4 or more days of annual or sick leave plus a holiday. (If the holiday falls on a Saturday which is a scheduled workday, absence on the preceding Friday is not charged to leave. If the leave period is for less than 4 days, absence on Friday is charged to leave (or)

b. Interruption during the approved period of annual or sick leave by one day of court leave due to circumstances beyond the carrier's control does not disqualify the carrier for coverage as provided above (or)

c. Upon request, a rural carrier is granted annual leave or LWOP on Saturday, at the carrier's option—provided a substitute rural carrier is available for replacement.

.54 TriWeekly Rural Carriers

.541 Week's Absence. If absent for a week, on sick or annual leave, the carrier is charged for 5 days leave.

.542 Absences Less Than a Week. If absent for less than a week at a time the carrier is charged with 2 days leave for each workday of absence.

.543 Leave Carry-Over. The carrier may end the year with 1 day of unused annual leave. This day may be carried forward into another leave year provided the total carried forward does not exceed 30 days, except as provided in 512.11.

.55 Substitute Rural Carriers

.551 General. A substitute rural carrier either serves as a leave replacement for a regular rural carrier or serves a vacant rural route. Note:

a. Leave replacements do not earn annual (or sick) leave.

b. A substitute (1) serving a vacant route or (2) serving in absence of rural carriers on extended leave earn annual (and sick) leave.

.552 90-Day Qualifying Period. The 90-day qualifying period *set forth in 512.332* applies to substitute carriers serving vacant routes. A break in service of one or more work days breaks continuity of employment and the substitute carrier must begin a new 90-day qualifying period. Normally a break in service will only occur when the regular carrier returns or the vacant route is filled by the appointment of a new regular rural carrier. A break in service does not mean absence from the route on a nonscheduled work day or absence in approved leave status, including LWOP. On the 91st day of service, the substitute is credited with accrued annual leave. (In determining the employee's leave category, credit is also given for prior service as a substitute rural carrier.)

.553 Lump-Sum Payment. When regular rural carriers return to duty, substitutes are given lump-sum payments for the annual leave to their credit if they have been in a leave earning capacity. The lump-sum payment is not made if the substitute is placed on another vacant route and continues to earn leave.

.554 Procedures For Placing In Pay Status. To officially place a substitute rural carrier in pay status, the following procedures apply:

a. Postmasters at offices with revenue units of 190 and above prepare Form 50, *Notification of Personnel Action,* when the substitute carrier has completed 90 days of continuous service. Postmasters in offices with revenue units of 189 and below notify the Sectional Center Manager (SCM) by memorandum so that Form 50 may be prepared.

b. Form 50 prepared by postmasters in offices with revenue units of 190 and above, or memorandums submitted to the SCM by offices with revenue units below 189 identify: (1) the route that the substitute rural carrier is serving; (2) the substitute by name; (3) the date that the regular rural carrier entered on LWOP; and (4) the date that the substitute began serving the route.

c. The nature of action code on Form 50 is 907, *Change to Leave Earning-Status.* Pertinent information appears in Item 30, *Remarks.* The date of eligibility is the 91st day following the beginning of the regular rural carrier's LWOP.

d. When the regular rural carrier returns to duty, the postmaster prepares Form 50 or forwards a memorandum to the SCM identifying (1) the name of the substitute rural carrier and (2) the date that eligibility ceases which is the day before the regular carrier returns to duty. The nature of action code is 908, *Change from Leave Earning Status.* Pertinent information is placed in Item 30 of the form.

512.6 Vacation Planning

.61 Bargaining Unit Employees. For these employees, leave is subject to specific vacation planning provisions of applicable collective bargaining agreements. Note also:

a. For all regular employees, both full-time and part-time, vacation leave is granted when requested—to the extent practicable.

b. For part-time flexible employees, vacation planning is limited to accumulated and accrued leave.

.62 Non-Bargaining Unit Employees. Vacation leave is granted to these employees when their services can best be spared. Postmasters and other responsible officials must schedule leaves so that:

a. Employees do not forfeit leave.

b. Postal operations are not impaired.

512.7 Separation Adjustments

.71 Terminal Leave Work Sheet

If an employee is not transferring and is separating from the USPS, the appropriate PDC furnishes the separating installation with Form 2246, *Terminal Leave Work Sheet,* for filing in the employee's official personnel folder. (For transfers, see 512.8.)

.72 Collection for Unearned Leave

.721 Refund. Separating employees who are indebted for unearned annual leave (or sick leave) have to refund the amount paid to them for such unearned leave. If employees do not make refunds, deductions are made from any salary due them.

.722 Exception. Collection is not required in the case of death or in the case of separation due to a disability which prevents an employee from returning to duty or continuing in the USPS.

.73 Payment for Accumulated Leave

A separating employee may receive a lump sum payment for accumulated annual leave—subject to the following conditions:

a. Before Qualifying Period. An employee who separates before completing the 90-day qualifying period forfeits terminal leave payment for accumulated leave.

b. On or After Qualifying Period. An employee who completes the 90-day qualifying period, even if separated at the close of business on the 90th day, is entitled to a terminal leave payment for leave accumulated.

c. Before Last Friday of Pay Period. An employee whose separation is effective before the last Friday of a pay period does not receive leave credit or terminal leave payment for the leave that would have accrued during that pay period.

d Bargaining-Unit Employee. A bargaining unit employee is not paid for annual leave in excess of 30 days. Any part of the unused annual leave earned during the current leave year which is in excess of the lump-sum limitation is granted prior to separation. In the case of death, a lump-sum payment is made for:

(*1*) Accumulated annual leave.

(*2*) Unused annual (current) leave earned during the year of death which the employee could have taken had the employee lived to the end of the leave year. No payment is made for unused leave which the employee would have been required to forfeit at the end of the leave year.

e. Non-Bargaining Employee. A non-bargaining employee receives payment up to the authorized carry-over (30 days) plus any accrued annual leave earned in the year of separation.

f. For Military Service. An employee who separates to enter active U.S. military duty may choose to receive a lump-sum leave payment or to have accrued annual leave held for credit on return to USPS duty.

g. Followed by Reemployment. An employee who received a lump-sum leave payment on separation from a postal position (or a federal position under the same leave system) and who is reemployed/reinstated *before the period covered by the payment expires* must refund in full the payment for the overlapping period. The employee may then be recredited (see 512.9) with leave.

h. Lump Sum Payment. Lump sum payment for annual leave at the time of retirement does not affect the amount or commencement date of annuity payments.

512.8 Transfers

.81 Transfer Without a Break in Service

.811 From the Postal Service to a Federal Agency. The PDC furnishes the agency gaining the employee with SF 1150, *Record of Leave Data.* (A copy of SF 1150 is *not* sent to the losing installation.) When necessary, the Postal Service collects for used but unearned leave (see 512.72).

.812 From a Federal Agency to the Postal Service. Leave credit must be transferred to the employee's leave account. The employee should not have to take LWOP because of delay in transferring leave:

a. If SF 1150 does not reach the PDC before the employee has to take leave, the PDC may telephone or telegram the losing agency to request the employee's leave balance.

b. If LWOP cannot be avoided, the record can be adjusted when the SF 1150 is received to show paid leave—unless the employee requests that the LWOP remain unchanged.

.813 From One Postal Installation to Another. If the installations are served by different PDCs, the losing PDC furnishes the gaining PDC with SF 1150. (A copy of SF 1150 is sent to the separating installation for filing in the employee's official personnel folder.)

.82 Transfer with a Break in Service

An employee who moves from *the USPS* to another *federal agency* after a break in service is separated (see 512.7) and later reemployed (see 512.9). *Any accumulated leave is not transferred, but is paid for in a lump sum.*

512.9 Recrediting Annual Leave

.91 Policy

.911 Annual leave which may be recredited consists of leave earned under any of the leave systems merged under the Annual and Sick Leave Act of 1951. However, annual leave already forfeited cannot be recredited.

.912 Annual leave is recredited under the Act for:

a. Employees reemployed before the period covered by the lump-sum payment expires.

b. Employees who transferred to a position not under an annual leave system and transferred back to the USPS without a break in USPS service of more than 52 continuous calendar weeks.

c. Employees who return to pay and duty status following a period of suspension, or involuntary separation (i.e., cases of retroactive reversals of disciplinary actions).

.92 Procedures

.921 Leave Earned in Prior USPS Service. See 513.73g.

.922 Leave Earned at Another Agency. When an employee makes application for recredit of leave earned in another agency, the Postal Service contacts the other agency to determine if leave was forfeited at the time of separation. If not, the agency is asked to certify the leave account. Note:

a. If the agency cannot find the leave record, the Postal Service will accept a statement or other evidence of leave credits. The statement should include an estimate of leave credit and reflect the factors forming the basis of the estimate.

b. If the leave record or statement justifies it, the amount of leave shown is recredited.

513 Sick Leave

513.1 Purpose. Sick leave insures employees against loss of pay if they are incapacitated for the performance of duties because of illness, injury, pregnancy and confinement, and medical (including dental or optical) examination or treatment.

513.2 Accrual and Crediting

.21 Accrual Chart

a. Full-Time Employees	4 hours for each full biweekly pay period—i.e., 13 days (104 hours) per 26-period leave year.
b. Part-Time Employees	1 hour for each unit of 20 hours in pay status for each pay period up to 104 hours (13 days) per 26-period leave year.
c. Postmasters of CAG L Office (Revenue Units of 35 and Below)	4 hours for each full biweekly pay period.

.22 Crediting

.221 General. Sick leave is credited at the end of each biweekly pay period in which it is earned. Sick leave (earned and unused) accumulates without limitation.

.222 Part-Time Employees. Part-time employees are not credited with sick leave in excess of 13 days (104 hours) per 26-period leave year.

.223 Substitute Rural Carriers. Substitute rural carriers serving vacant routes or serving during the extended absence of rural carriers are credited with sick leave starting with their first pay period.

.224 Auxiliary Assistant to Rural Carriers. Auxiliary assistants to rural carriers are not credited with sick leave in excess of 104 hours per leave year. If they serve in another capacity (e.g., flexible employees) in the post office, that service is also used in computing sick leave credit (see 513.21).

.225 Substitute Rural Carriers in Dual Appointment. Substitute rural carriers (designation 73) in dual appointment earn sick leave only when their service is performed in a position that is subject to the Civil Service Retirement Act. The leave can be used only while they are serving in a leave-earning position.

513.3 Authorizing Sick Leave

.31 Policy

.311 General. Sick leave cannot be granted until it is earned, except as provided in 513.5.

.312 Restriction. An employee in sick leave status may *not* engage in any gainful employment unless prior approval has been granted by appropriate authority. (See part 650, *Code of Ethics*.)

.32 Conditions for Authorization

a. Illness or Injury.	If employees are incapacitated for the performance of official duties.
b. Pregnancy and Confinement. (Sick leave, annual leave, or LWOP as may be necessary, is granted.)	See 515, Absence For Maternity/Paternity Reasons.
c. Medical, Dental, or Optical Examination or Treatment.	If absence is necessary during the employee's regular scheduled tour.
d. Contagious Disease. A contagious disease is a disease ruled as requiring isolation, quarantine, or restriction of movement of the patient for a particular period by the health authorities having jurisdiction.	If employees: (1) Must care for family member afflicted with a contagious disease, or (2) Have been exposed to a contagious disease and would jeopardize the health of others. (3) Have evidence supplied by the local health authorities or certificate signed by a physician certifying the need for the period of isolation or restriction.
e. Medical Treatment For Disabled Veterans. (Sick leave, annual leave, or LWOP, as may be necessary, is granted.)	If employees: (1) Present a statement from a duly authorized medical authority that treatment is required. (2) *When possible*, give prior notice of the definite number of days and hours of absence. (Such information is needed for work scheduling purposes.)

.33 Application for Sick Leave

.331 General

Except for unexpected illness/injury situations, sick leave must be requested on Form 3971 and approved in advance by the appropriate supervisor.

.332 Unexpected Illness/Injury

An exception to the advance approval requirement is made for unexpected illness/injuries; however, in these situations the employee must notify appropriate postal authorities as soon as possible as to their illness/injury and expected duration of absence. As soon as possible after return to duty, employees must submit a request for sick leave on Form 3971. Employees may be required to submit acceptable evidence of incapacity to work as outlined in the provisions of 513.36, *Documentation Requirements.* The supervisor approves or disapproves the leave request. When the request is disapproved, the absence may be recorded as annual leave, if appropriate, as LWOP, or AWOL, at the discretion of the supervisor as outlined in 513.342.

.34 Form 3971, Request for, or Notification of, Absence

.341 General. Application for sick leave is made in writing, in duplicate, on Form 3971, *Request for, or Notification of, Absence.*

.342 Approval/Disapproval. The supervisor is responsible for approving or disapproving applications for sick leave by signing the Form 3971, a copy of which is given to the employee. If a supervisor does not approve an application for leave as submitted, the *Disapproved* block on the Form 3971 is checked and the reasons given in writing in the space provided. When a request is disapproved, the granting of any alternate type of leave, if any, must be noted along with the reason for the disapproval. AWOL determinations must be similarly noted.

.35 Postmaster Absences

There are special requirements for postmaster absences:

a. Leave Replacement. A postmaster whose absence requires the hiring of a leave replacement must notify the appropriate official.

b. Absence Over 3 Days. A postmaster who is absent in excess of 3 days must submit Form 3971 within 2 days after return to duty or, for an extended illness, at the end of each accounting period.

.36 Documentation Requirements

.361 3 Days or Less. For periods of absence of 3 days or less, supervisors may accept the employee's statement explaining the absence. Medical documentation or other acceptable evidence of incapacity for work is required only when the employee is on restricted sick leave (see 513.36) or when the supervisor deems documentation desirable for the protection of the interests of the Postal Service.

.362 Over 3 Days. For absences in excess of 3 days, employees are required to submit medical documentation or other acceptable evidence of incapacity for work.

.363 Extended Periods. Employees on sick leave for extended periods are required to submit, at appropriate intervals, *but not more frequently than one (1) time per pay period,* satisfactory evidence of continued incapacity for work unless some responsible supervisor has knowledge of the continuing incapacity for work.

.364 Medical Documentation or Other Acceptable Evidence. When employees are required to submit medical documentation pursuant to these regulations, such documentation should be furnished by the employee's attending physician or other attending practitioner. Such documentation should provide an explanation of the nature of the employee's illness or injury sufficient to indicate to management that the employee was (or will be) unable to perform his normal duties for the period of absence. Normally, medical statements such as "under my care" or "received treatment" are not acceptable evidence of incapacitation to perform duties. Supervisors may accept proof other than medical documentation if they beleive it supports approval of the sick leave application.

.365 Failure to Furnish Required Documentation. If acceptable proof of incapacitation is not furnished, the absence may be charged to annual leave, LWOP, or AWOL.

.37 Restricted Sick Leave

.371 Reasons for Restriction. Supervisors (or the official in charge of the installation) who have evidence indicating that an employee is abusing sick leave privileges may place an employee on the restricted sick leave list. In addition, employees may be placed on the restricted sick leave list after their sick leave use has been reviewed on an individual basis and the following actions have been taken:

a. Establishment of an absence file as outlined in Handbook F-21, *Time and Attendance* (part 973).

b. Review of the absence file by the immediate supervisor and by higher levels of management.

c. Review of the quarterly listings, furnished by the PDC, of LWOP and sick leave used by employees. (No minimum sick leave balance is established below which the employee's sick leave record is automatically considered unsatisfactory.)

d. Supervisor's discussion of absence record with the employee.

e. Review of the subsequent quarterly listing. If listing indicates no improvement, the supervisor is to discuss the matter with the employee to include advice that if next listing shows no improvement, employee will be placed on restricted sick leave.

.372 Notice and Listing. Supervisors provide written notice to employees that their names have been added to the restricted sick leave listing. The notice also explains that, until further notice, the employees must support *all* applications for sick leave by medical documentation or other acceptable evidence—(see 513.364).

.373 Recission of Restriction. Supervisors review the quarterly leave listings furnished by the PDC. If there has been a substantial decrease in absences charged to sickness, the employee's name is removed from the restricted sick leave list and the employee is notified in writing of the removal.

.38 Performance Ability Questioned

When the reason for an employee's sick leave is of such nature as to raise justifiable doubt concerning the employee's ability to satisfactorily and/or safely perform duties, a *fitness for duty medical examination* is requested through appropriate authority. A complete report of the facts, medical and otherwise, should support the request.

513.4 Charging Sick Leave

.41 Full-Time Employees

.411 General

a. Sick leave is not charged for legal holidays or for non-work days established by Executive Order.

b. Sick leave may be charged on any scheduled work day of an employee's basic work week, including Saturdays and Sundays.

.412 Minimum Unit Charge

Employee Category	Minimum Unit Charge
a. All full-time employees, includes postmasters in post offices with 36 revenue units and above, except those listed in b–f.	Hundredth of an hour (.01 hour)

Employee Category	Minimum Unit Charge
b. Postmasters in CAG L offices (revenue units of 35 and below)	Half day (4 hours)
c. Postal inspectors	1 day (8 hours)
d. Rural carriers	1 day (8 hours)
e. Substitute rural carriers (1) serving a vacant route or (2) serving in absence of rural carriers on extended leave	1 day (8 hours)
f. Triweekly Rural Carriers	(See 512.54)

.413 Special Situations

a. Postmasters In CAG L Post Offices. Postmasters in CAG L post offices (35 revenue units and below) are charged sick leave the same as annual leave (see 512.511 and 512.515).

b. Rural Carriers. Rural carriers absent because of illness on Saturdays are charged sick leave based on computations used for their annual leave charges (see 512.53).

c. Substitute Rural Carriers. Substitutes serving a vacant rural route or serving for a rural carrier on extended leave are charged sick leave the same as rural carriers.

d. Tri-weekly Routes Rural Carriers. Triweekly route rural carriers are charged sick leave the same as for annual leave (see 512.54).

.42 Part-Time Employees

.421 General

a. Absences due to illness are charged as sick leave on any day that an hourly rate employee is scheduled to work, except national holidays.

b. Except as provided in 513.82, paid sick leave may not exceed the number of hours that the employee would have been scheduled to work, up to:

(*1*) A maximum of 8 hours in any one day.
(*2*) 40 hours in any one week.
(*3*) 80 hours in any one pay period.

If a dispute arises as to the number of hours the Part-Time Flexible would have been scheduled to work, the schedule will be considered to have been equal to the average hours worked by other Part-Time Flexible employees in the same work location on the day in question.

c. Limitations in 513.421b apply only to paid sick leave and not to a combination of sick leave and work hours.

However, Part-Time Flexible employees who have been credited with 40 hours or more of paid service (work, leave, or a combination of work and leave) in a service week are not granted sick leave during the remainder of that service week. Absences in such cases are treated as non-duty time not chargeable to paid leave of any kind (sick leave is not intended to be used to supplement earnings of employees.)

.422 Minimum Unit Charge

Employee Category	Minimum Unit Charge
All Part-Time Employees	Hundredth of an hour (.01 hour)

513.5 Advance Sick Leave

.51 Policy

.511 May Not Exceed 30 Days. Sick leave not to exceed 30 days (240 hours) may be advanced in cases of serious disability or ailments if there is reason to believe the employee will return to duty. Sick leave may be advanced whether or not employees have annual leave to their credit.

.512 Medical Document Required. Every application for advance sick leave must be supported by medical documentation as to illness.

.52 Administration

.521 Installation Heads Approve. Officials in charge of installations are authorized to approve these advances without reference to higher authority.

.522 Forms Forwarded. Form 1221, *Advance Sick Leave Authorization,* is completed and forwarded to the PDC when advance sick leave is authorized.

.53 Additional Sick Leave

.531 30-Day Maximum. Additional sick leave may be advanced even though liquidation of a previous advance has not been completed, provided the advance, at no time, exceeds 30 days. Any advance sick leave authorized is in addition to the sick leave which has been earned by the employee at the time the advance is authorized.

.532 Liquidating Advance Sick Leave. The liquidation of advance sick leave is not to be confused with the substitution of annual leave for sick leave to avoid forfeiture of the annual leave. Advanced sick leave may be liquidated in the following manner:

a. Charging the sick leave against the sick leave earned by the employee as it is earned upon return to duty.

b. Charging the sick leave against an equivalent amount of annual leave, at the employee's request if the annual leave charge is made prior to the time such leave is forfeited because of the leave limitation regulation.

513.6 Leave Charge Adjustments

.61 Insufficient Sick Leave. If sick leave is approved, but the employee does not have sufficient sick leave to cover the absence, the difference is charged to annual leave or to LWOP at the employee's option.

.62 Insufficient Sick and Annual Leave. If sick leave is approved for employees who have no annual or sick leave to their credit, the absence may be charged as LWOP, unless sick leave is advanced as outlined in 513.5. LWOP so charged cannot thereafter be converted to sick or annual leave.

.63 Disapproved Sick Leave. If sick leave is disapproved, but the absence is nevertheless warranted, the supervisor may approve, at the employee's option, a charge to annual leave or a charge to LWOP.

.64 Absence Without Leave. An absence which is disapproved is charged as LWOP and may be administratively considered as AWOL.

.65 Annual Leave Changed To Sick Leave. If an employee becomes ill while on annual leave and the employee has a sick leave balance, the absence may be charged to sick leave.

513.7 Transfer or Reemployment

.71 Transfer

.711 Crediting. Individuals transferring from a federal agency to the USPS are credited with their sick leave balance, provided there is not a break in service in excess of 3 years.

.712 Recrediting

a. If a USPS employee transfers to a position under a different leave system, to which only a part of the employee's sick leave can be transferred, the sick leave is recredited if the individual returns to the USPS provided there is not a break in service in excess of 3 years.

b. If a USPS employee transfers to a position to which sick leave cannot be transferred, the sick leave is recredited if the individual returns to the Postal Service, provided there is not a break in service in excess of 3 years.

.72 Reemployment. Sick leave may be recredited upon reemployment, provided there is not a break in service in excess of 3 years.

513.8 Retirements or Separations

.81 General. No payment is made for accumulated sick leave when an employee retires or separates.

.82 Retirement

.821 Credit for Sick Leave. Provisions of the retirement law provide for the granting of credit for unused sick leave in calculating retirement or survivor annuity at the time of the employee's retirement or death. Each 8 hours of sick leave represents 1 day of retirement credit. Unused sick leave days are converted to calendar time retirement credit, based on a 260-day work year (260 days × 8 hours = 2,080 hours).

.822 Disability Retirement. If the CSC has approved an application for disability retirement effective on expiration of accumulated and accrued leave, or if the employee is being otherwise separated for physical or mental disability resulting in inability to perform the work, sick leave is granted at the rate of 8 hours per day, 40 hours per week, or 80 hours per day period until the employee's sick leave is exhausted. Payments may not be made, however, for any hours for which the employee received salary or leave payments from another federal agency.

.83 Separation By Death. If an ill employee dies without returning to duty and without making application for sick leave, the postal official in charge of the installation grants sick leave for the period of illness or disability immediately prior to death. If the employee was in pay status on the day of death or immediately prior to death, the employee's beneficiary is entitled to receive compensation without charge to leave for the date of death. The latter applies whether or not employees have leave to their credit.

513.9 Collection For Unearned Sick Leave. Collection for used but unearned sick leave at the time of separation is made in the same manner as for unearned annual leave (see 512.72).

514 Leave Without Pay (LWOP)

514.1 Definition

.11 *Leave Without Pay (LWOP)* is an authorized absence from duty in a non-pay status. LWOP may be granted upon the employee's request and covers only those hours which the employee would normally work or for which the employee would normally be paid.

.12 *LWOP* is different from AWOL (absent without leave) which is a non-pay status due to a determination that no kind of leave can be granted either because (a) the employee did not obtain advance authorization or (b) the employee's request for leave was denied.

514.2 Policy

.21 Restriction. LWOP in excess of 2 years is not approved unless specifically provided for in postal policy or regulations.

.22 Administrative Discretion. Each request for LWOP is examined closely and a decision is made based on the needs of the employee; the needs of the USPS; and the cost to the USPS. The granting of LWOP is a matter of administrative discretion. It is not granted on the employee's demand except:

a. A disabled veteran is entitled to LWOP, if necessary, for medical treatment under Executive Order 5396.

b. A Reservist or a National Guardsman is entitled to LWOP, if necessary, to perform military training duties under the Vietnam Era Veterans' Readjustment Act of 1974 (see 38 U.S.C., §2024).

.23 Condition. In granting approval for extended LWOP, there should be reasonable expectation that the employee will return at the end of the approved period.

.24 Leave Credit Reduction. Employees on LWOP for a period or periods totaling 80 hours (normal number of work hours in 1 pay period) during a leave year have their leave credit reduced by the amount of leave earned in one pay period.

.25 Other Employment. LWOP is not granted for the purpose of enabling an employee to "try-out" or to accept other employment.

514.3 Authority to Approve

.31 Installation Head. Installation heads may approve requests for LWOP which are not in excess of 1 year.

.32 Regional Postmaster General. Regional Postmasters General (or their designees) may approve requests for LWOP which are not in excess of 2 years.

514.4 Acceptable Reasons and Instructions

Acceptable Reasons for LWOP	Instructions
a. Personal reasons.	LWOP may not exceed 30 days during each leave year.
b. Employee has no leave to cover vacation during choice vacation period.	LWOP may be granted to cover the absence.
c. Full-time attendance at a college or university.	(1) Restricted to full-time employee. (2) An official transcript of courses taken must be submitted to the installation head.
d. Personal illness or injury.	(1) LWOP may be granted after accumulated accrued sick and annual leave have been exhausted, except the employee may request LWOP prior to exhausting annual leave. (2) A medical document from the attending physician or practitioner must be obtained prior to approval, the same as for sick leave. (3) Applications for LWOP to cover a period in excess of 30 days in any 1 year in cases of illness or injury, are reviewed and acted upon by the installation head. (4) An employee normally will not be separated from the service because of LWOP taken due to illness for a period of *less* than 1 year. An employee may be separated if required to be absent for *more* than 1 year, unless there is cause to expect recovery and return within a reasonable time after the end of 1 year in LWOP status. (5) The separation of an employee after 1 year of continued absence without pay does not prevent an eligible employee from filing an application for retirement.
e. Injury in Line of Duty.	(1) An employee may choose to use annual or sick leave until it is exhausted prior to being placed on LWOP. (2) On favorable adjudication of a claim by the Office of Workers' Compensation Programs LWOP may be substituted for a period of sick and/or annual leave, so that the employee may accept disability compensation for the period of absence. Supervisor must advise employees of their right to file an application for injury suffered in line of duty. (See instructions on Form CA 1.) (3) An employee who elects LWOP during a pay period in order to receive compensation under the Federal Employees' Compensation Act earns leave during that part of the pay period in which the employee is in pay status, despite general prohibition against earning leave for a part of a pay period. (4) For traumatic injuries, employees are entitled to 45 calendar days of continuation of pay without charge to leave.
f. Maternity absence (see 515).	An employee absent for maternity reasons may request LWOP for periods of absences which are not medically certified as being due to incapacitation for the performance of duty.
g. Assumption of full-time duties as an officer in an employee organization.	An employee is permitted to devote full-time to an office to which the employee has been elected or appointed by an employee organization. See the applicable provisions of the Collective Bargaining Agreement.

h. Military duty for scheduled drills or for periods of training.	An employee enlisted under the Reserve Forces Act of 1955, who has completed the initial period of active duty training of not less than 3 months or more than 6 months may be granted LWOP *for scheduled drills or periods of training* (see 365.23).
i. Military duty for any purpose, *training or otherwise.*	Eligible members of the National Guard or reserve components of the Armed Forces *ordered to active duty for training or for any other purposes, for a specified period of time not to exceed one year, but in excess of the total time allowable under military leave and annual leave shall be granted LWOP.*
j. Postmaster elected to position of president of either the National Association of Postmasters of the U.S. or the National League of Postmasters.	(1) LWOP normally does not exceed 2 consecutive years coinciding with the elected term of office. (2) The postmaster requests in writing, through the appropriate management structure, that the Senior Assistant Postmaster General for Employee and Labor Relations (SAPMG, E&LR) grant postmasters LWOP during tenure of presidency for the purpose of serving as *resident* president of the employee organization in Washington, DC in a full-time capacity. (3) If LWOP is granted, the postmaster continues to be eligible for appropriate fringe benefits during that period. (4) The SAPMG, E&LR, reserves the right to deny the request for LWOP if it is determined that the position must be filled on a permanent basis, unencumbered by an individual on prolonged leave. (5) If the employee declines to request LWOP under the foregoing condition in order to serve as a full-time resident president, 519.272 applies.
k. Union business.	See applicable provisions of current Collective Bargaining Agreement.

514.5 Forms Required

.51 Form 3971. A request for LWOP is submitted by the employee on Form 3971, *Request for, or Notification of, Absence.* If the request for leave indicates the LWOP will extend over 30 days, a written justification and statement of reason for the desired absence is required.

.52 Form 50. Form 50, *Notification of Personnel Action,* is prepared when LWOP is in excess of 30 days.

515 Absence For Maternity/Paternity Reasons

515.1 Absence for Maternity Reasons

.11 Policy

.111 Temporary Incapacitation for Duty. Pregnancy is a condition which eventually requires the employee to be absent from the job because of incapacitation. For leave purposes, a period of absence covering pregnancy and confinement is to be treated like any other condition which incapacitates the employee from the performance of duty. As a means of accommodating this temporary incapacitation, appropriate leave is available to the employee.

.112 General Leave Policy Applies. Maternity absence is not a separate type of leave. The same leave policies, regulations, and procedures apply to absence for maternity reasons as apply to requests for leave generally.

.12 Granting Leave. Maternity absences may be a combination of sick leave, annual leave, and LWOP:

a. Sick Leave. To the extent available, sick leave may be used to cover the time required for physical examinations and periods of incapacitation.

b. Annual Leave or LWOP. Absence due to reasons such as the need for a period of adjustment following birth and recuperation, or for time to make arrangements for the care of the child, may be covered only by the use of available annual leave or LWOP if requested by the employee and approved by the appropriate management official. An employee need not exhaust sick and annual leave prior to requesting LWOP (see 514.4).

.13 Request for Leave. An employee informs her supervisors as soon as possible of her intention to request leave for maternity reasons and indicates the type of leave desired, approximate dates, and anticipated duration to allow the supervisor to prepare for any staffing adjustments which may be necessary. The length of absence from duty for maternity reasons is jointly determined by the employee, her physician, and management.

.14 Request For Light-Duty/Temporary Reassignment. Installation heads make every reasonable effort to accommodate requests for light duty or temporary reassignment to other available work for which the employee is qualified and which is requested due to maternity reasons. Such requests are accompanied by appropriate medical recommendations.

515.2 Absence For Paternity Reasons. A male employee may request only annual leave or LWOP for purposes of assisting or caring for his minor children or the mother of his newborn child while she is incapacitated for maternity reasons. Approval of leave for these reasons is consistent with Postal Service policy for granting leave in any other situation where leave is requested due to the incapacitation of an employee's spouse. Each such leave request is considered on its own merits.

516 Court Leave

516.1 Absences For Court Or Court-Related Service

Nature of Service	Court Leave	Official Duty	Annual Leave or LWOP
I Jury Service			
(A) U.S. or D.C. court	X		
(B) State or local court	X		
II Witness Service			
(A) On behalf of U.S. or D.C. government		X	
(B) On behalf of State or local government			
(1) in official capacity		X	
(2) not in official capacity	X		
(C) On behalf of private party			
(1) in official capacity		X	
(2) not in official capacity			X

516.2 Determining Nature of Court Service. Installation heads ascertain the exact nature of court service in order to determine if the employee is entitled to court leave or official duty status. If a summons to witness service is not specific or clear, the installation head contacts appropriate authorities to determine the party on whose behalf the witness service is to be rendered. When the exact nature of court service is determined, records are annotated accordingly.

516.3 General

.31 Definition. *Court leave* is the authorized absence (without loss of, or reduction in, pay, leave to which otherwise entitled, credit for time or service, or performance rating) of an employee from work status for *jury duty* or for attending judicial proceedings in a *non-official capacity as a witness on behalf of a state or local government.* The court or judicial proceeding may be located in the District of Columbia, a state, territory, or possession of the United States, including the Commonwealth of Puerto Rico, the Canal Zone, or the Trust Territory of the Pacific Islands. *Judicial proceedings* contemplate any action, suit, or other proceedings of a judicial nature, but do not include administrative proceedings such as hearings conducted pursuant to 650, *Adverse Personnel Action—Grievance and Appeal (Non Bargaining).*

.32 Employees Eligible for Court Leave. Court leave is granted only to full-time and part-time regular employees. All other employees are ineligible for court leave and must use either annual leave or LWOP to cover the period of absence from postal duties for court service, but may retain any fees or compensation received incident to such court service.

.33 Granting Court Leave

.331 Pay Status Requirement. Court leave is granted only to eligible employees who, except for jury duty or service as a witness in a non-official capacity on behalf of a state or local government would be in work status or on annual leave. An employee on LWOP when called for such court service, although otherwise eligible for court leave, is not granted court leave, but may retain any fees or compensation received incident to court service.

.332 Employee on Annual Leave. If an eligible employee while on annual leave is summoned for jury duty or service as a witness in a non-official capacity on behalf of a state or local government while on annual leave, the employee's annual leave is cancelled and the employee is placed on court leave for the duration of such court service. Employees who are not entitled to court leave must use annual leave or LWOP for the period of absence from duty for such court service.

.333 Combination of Court Service and Postal Duty

a. Employees Who Report for Court Service and Are Excused Early. If an employee reports for court service and is excused by the court for the balance of the day, or performs court service for only part of that day, the employee is entitled to full compensation for the day in question. The employee is required to report to the postal installation for the balance of the postal tour of duty, provided: (1) an appreciable time of the tour is involved and (2) it is feasible to report to work and complete the tour. The combined court service and postal duty may not exceed 8 hours. (This limitation does not apply to employees exercising the option provided in 516.334a1.)

b. Employees Who Serve A Full Day In Court. Employees serving a full day in court service are not required to report to their postal duties.

c. Employees Excused from Court Service For An Extended Period. Employees excused from court service for an entire day or days are not entitled to compensation for such days unless they actually perform service as postal employees.

.334 Accommodation of Employees Called for Court Service

a. Employee Options. Employees who are eligible for court leave and who have a conflict with court duty and work schedules have the following options:

(1) Work their postal tours of duty in addition to performing court service.

(2) Have their work schedules changed temporarily to conform to the hours of court service. (Employees who do not choose this option may not have their work schedule changed and are expected to report for postal duty upon completion of their court service.)

b. Performance of Postal Tour of Duty in Addition to Court Service. If employees work their full postal tours of duty in addition to performing court service, their court service is *not* charged to court leave as the court service is performed outside of their postal tours of duty. Accordingly, employees may retain any fees or payment received incident to such court service. If employees choose to work their full postal tours of duty in addition to performing court service, but are required to be in court beyond the starting time of their scheduled tours, they report for postal duty as soon as possible after completion of court service and work the remaining hours of their scheduled tours. The hours of court service which overlap the employees' scheduled tours of duty are charged to court leave and the employees remit to the Postal Service that portion of court fees received for the hours charged to court leave. The combined court leave and postal work hours may not exceed 8 hours.

c. Temporary Change in Schedule. Employees who choose to have their work schedules changed temporarily to conform to court service hours submit, as soon as possible, a request for such schedule change in writing to the appropriate postal official at their installation. Such request states that the schedule change is for the employee's personal convenience and is agreed to by the local union. Employees who exercise this option receive full compensation for the period of court service, including any applicable night differential.

.335 Overtime. No overtime is allowed for court service performed while an employee is on court leave or for a combination of postal work and such court service.

.336 Recording Court Service

a. Employees Other Than Rural Carriers. Form 1224, *Court Leave Duty Statement of Service,* is prepared at the time an employee is authorized court leave. Instructions for preparing Form 1224 appear in 445.5, Handbook F-1 *Financial and Cost Controls,* and 353.3, Handbook F-21, *Time and Attendance.*

b. Rural Carriers. When a rural carrier is called upon to perform court service, the postmaster reports the following information on Form 1314, *Statement of Service Performed on Rural Route:*

(*1*) Description of the court service performed.

(*2*) Identification of the court service as being in Federal or State Court. (If in State Court, record and report fees in accordance with Handbook F-1, 237.)

(*3*) Dates of the court service.

(*4*) Name of the substitute rural carrier serving the rural route.

.34 Fees

.341 General. Employees who receive jury or witness fees for court service while on court leave remit such fees to the appropriate postal official. The amount of fees to be retained by the Postal Service may not exceed the amount of salary otherwise payable to the employee for the hours of court leave; any excess may be retained by the employee. *In states or counties within a state where* employees receive an expense allowance or expense money in lieu of court fees, *the employee* is entitled to retain an amount equal to the per diem allowance authorized under the Handbook M-9, Travel, for each day while on court leave. The balance of the funds continues to be remitted to the Postal Service and the employee continues to be fully compensated through court leave. *Money received by employees for tolls, ferriage and mileage need not be remitted to the Postal Service.*

.342 Court Service Outside of Regular Working Hours or Regular Working Days. Employees who perform court service outside of their basic work week (on scheduled days off) or outside of their scheduled tour of duty, for which no court leave is granted, may accept and retain the jury or witness fees. (If the employee's basic work week is Monday through Friday, the employee is placed on court leave for any absence while serving as a juror or witness in a non-official capacity on behalf of a state or local government during this period. The employee is entitled to retain fees received for court service on Saturday and/or Sunday. The same rule applies to employees assigned to other basic work weeks, whether the scheduled non-work days are fixed or rotating.) The basic work week for *rural carriers* is Monday through Saturday, except that rural carriers who serve either "J" or "K" routes are considered to be in a scheduled non-work status on the 1 day each week (or every 2 weeks) in which they are given relief. A rural carrier serving a "J" or "K" route who performs court service on a scheduled non-work day (relief day), for which no court leave is granted, may accept and retain the jury or witness fees.

.343 Holidays. Fees received for court service falling on a holiday within an employee's basic work week may be retained by the employee, provided that the employee would have been excused from regular postal duties on the holiday.

.344 Recording and Reporting of Fees. Postmasters record and report fees in accordance with instructions in Handbook F-1, 237.43. Other installation heads forward collections of jury or witness fees to the disbursing officer, PDC. If court service is to be performed in a state court, the installation head determines the exact amount of compensation received from the state.

516.4 Official Duty

.41 Definition. An employee is in an *official duty status* (as distinguished from a leave status and without regard to any entitlement to court leave) if assigned by the Postal Service or summoned by proper authority to:

a. Testify or produce official records on behalf of the United States or the District of Columbia. (Such testimony may be in an official or non-official capacity.)

b. Testify in an official capacity or produce official records on behalf of a party other than the United States or the District of Columbia.

.42 Compensation. Employees who perform witness service in an official duty status are paid their regular salaries as Postal Service employees, including any applicable night differential and overtime pay. In addition, such employees collect the authorized fees and any allowances for travel and subsistence expenses and retain an amount equal to actual allowable expenses. All amounts collected over and above the amount of the employee's actual allowable expenses are remitted to the postal official in charge. (See Handbook F-1, Part 237.)

.43 Witness Services in a Non-Official Capacity on Behalf of a Private Party. An employee who testifies in a non-official capacity (as a private individual) on behalf of a private party is *not* performing official duty. The employee's absence is charged to annual leave or LWOP and the employee may retain any fees or compensation received for such witness service.

517 Military Leave

517.1 General

.11 Definition. *Military leave* is authorized absence from postal duties without loss of pay, time, or performance rating, granted to eligible employees who are members of the National Guard or Reservists of the Armed Forces.

.12 Types of Duty

.121 Duty Covered

a. Active duty, field, coast defense training.

b. Service providing military aid for law enforcement purposes.

c. Parade or encampment activities of the D. C. National Guard.

.122 Types of Duty Not Covered

a. Summer training as a member of Reserve Officer Training Corps.

b. Temporary Coast Guard Reserve.

c. Service with the National Guard, if ordered by the State Governors without authority of the Department of Defense except when such service is in connection with regular annual encampment or for law enforcement purposes as specified in 517.53.

d. Training with a State Guard or other state military organization which is not a part of the National Guard or which was created to take the place of the National Guard during an emergency.

e. Weekly drills as member of D. C. National Guard.

f. Civil Air Patrol, established as a civilian auxiliary of the U. S. Air Force.

g. Time taken on a work day to travel to place where training is to begin, unless military training orders encompass the period of travel time required.

517.2 Procedures

.21 Approval. The official responsible for approving the attendance record also approves military leave.

.22 Return From Duty. Upon return from military duty to the Postal Service, the employee furnishes a copy of military orders, properly endorsed by appropriate military authority to show the duty was actually performed.

517.3 Policy. An eligible employee desiring to serve in a Reserve or National Guard Unit is allowed to do so and no action to discourage participation is permitted. The U. S. Postal Service allows eligible employees:

a. To participate in drills or meetings scheduled by the National Guard or Reserve Units of the Armed Forces.

b. To attend usual summer training periods.

c. To perform any other active duty ordered by the National Guard and Reserve Units of the Armed Forces.

517.4 Eligibility

.41 Eligible Employees. Full-time, part-time regular, and part-time flexible employees who are members of the following components of the Armed Forces are eligible for military leave:

a. The Army National Guard of the United States.

b. The Army Reserve.

c. The Naval Reserve.

d. The Marine Corps Reserve.

e. The Air National Guard of the United States.

f. The Coast Guard Reserve.

g. Air Force Reserve.

.42 Ineligible Employees

a. Casual Employees.

b. Contract Cleaners.

c. Substitute Rural Carriers.

d. Auxiliary Assistants to Rural Carriers.

e. Temporary Employees.

517.5 Military Time Allowances

.51 General Allowance. Eligible full-time and part-time employees are granted military leave as follows:

a. *Full-Time Employee*—15 days.

b. *Part-Time Employee*—1 hour of military leave for each 26 hours in pay status in the preceding fiscal year provided:

(*1*) Employee was in pay status a minimum of 1,040 hours in the preceding fiscal year, and

(*2*) Employee's pay for military leave does not exceed 80 hours.

.52 Previous Service. Employeee transferring to Postal Service from other government agencies are entitled to credit for military leave purposes for government service performed prior to appointment as a part-time employee. Any other creditable federal civilian service rendered during the prior fiscal year is also used in computing the required 1,040 hours. Creditable service is determined by requesting a transcript from the other agency detailing the number of hours in which the employee was in pay status.

.53 Law Enforcement Allowance. Eligible full-time and part-time employees are granted additional military leave over and above the 15 days if they are ordered by appropriate authority to provide military aid to enforce the law for their state, the District of Columbia, the Commonwealth of Puerto Rico, the Canal Zone, or a territory of the U. S. (Approval procedures in 517.2 apply.) Law Enforcement Military leave is granted as follows:

a. Full-Time Employee—22 days.

b. Part-Time Employee—1 hour of military leave for each 13 hours of service performed as a part-time employee in the fiscal year preceding the request, provided: vided:

(*1*) Employee has worked at least 1,040 hours during the preceding fiscal year, and

(*2*) Additional leave granted under this subsection does not exceed 160 hours in a fiscal year.

.54 Special Exception—D. C. National Guard. Members of the National Guard of the District of Columbia are granted military leave for all days (no limit) of parade or encampment.

517.6 Granting Leave

.61 Pay Status Requirement. Generally, an employee must be in pay status either immediately prior to the beginning of military duty or immediately after the end of military duty in order to be entitled to military leave with pay. Approving officers determine whether (but for the active duty) the employee fulfills the pay status requirement.

.62 Leave Charge for Non-Workdays. Non-workdays falling within a period of absence on military leave are charged against the 15 days of military leave allowed during the fiscal year, but non-workdays falling at the beginning and end of the training period are not charged.

.63 Absence Beyond 15 Days

.631 Training Periods. Any absence beyond the legal limit of 15 calendar days of military leave is charged to annual leave or LWOP, regardless of the number of training periods in the fiscal year.

.632 Active Duty Extends Into Another Calendar Year. Military leave is limited to 15 calendar days for any one period of continuous active duty, even though the period may extend into more than one fiscal year.

.633 Choice of Annual Leave or LWOP. Eligible employees who are called for a period of military training or for a period of active military duty beyond the 15 day period chargeable to military leave may use annual leave or LWOP.

.64 Use of Mixed Leave. Normally the first 15 calendar days of a longer period of military training or duty are charged to military leave. If circumstances warrant it, any other 15 day period during the longer active duty period may be designated as military leave instead of the first 15 calendar days.

.65 Use of Leave Intermittently. Military leave may be taken interrmittently.

517.7 Conflict With Work Schedule

.71 Employee Alternatives. An employee who has official duty orders or official notices signed by appropriate military authority for weekly, biweekly, or monthly training meetings and who has a conflict with scheduled work requirements may choose one of four ways of meeting military obligation:

a. Use military leave not in excess of 15 days.

b. Use annual leave.

c. Use LWOP.

d. Arrange a mutually agreeable trade of workdays and days off with another employee who is qualified to replace the absent employee. Such trades must be cleared with the responsible supervisor and must be in accordance with the terms of collective bargaining agreements.

.72 Administrative Policy

.721 Reassignments. Arbitrary reassignments of other employees are not made to permit absences of employees for military leave. An employee having military drills or military training responsibility should attempt to bid on a work assignment (when the opportunity presents itself) which will not conflict with military duties.

.722 Rescheduling. An employee desiring leave for military duty may be rescheduled if such action can be taken without increasing costs or adversely affecting the service or other employees. Every effort should be made to work out these problems as satisfactorily as possible.

517.8 Continuance of Night Differential Pay. Employees regularly assigned in whole or in part to a night tour of duty are entitled to night differential pay when absent on military leave.

517.9 Records Control. Form 3973, *Military Leave Control,* provides installations with an official record of the amount of military leave used. Timekeepers or other officials responsible for processing timecards maintain a file of Forms 3973. The forms are retained for 2 years after the close of the fiscal year in which the leave was taken.

518 Holiday Leave

518.1 Observed Holidays

The following nine days are observed as holidays by the U. S. Postal Service:

a. New Year's Day.
b. Washington's Birthday.
c. Memorial Day.
d. Independence Day.
e. Labor Day.
f. Columbus Day.
g. Veteran's Day.
h. Thanksgiving Day.
i. Christmas Day.

518.2 Holidays on Non-Scheduled Work Days

.21 Saturday. When a holiday falls on a Saturday, the preceding Friday is observed as the holiday.

.22 Sunday. When a holiday falls on Sunday, the following Monday is observed as the holiday.

.23 Non-Scheduled Work Day. When a holiday falls on an employee's non-scheduled work day, the first scheduled work day preceding the holiday is designated as that employee's holiday.

518.3 Eligibility For Holiday Pay. See 434.4.

518.4 Rural Carriers and Substitutes

.41 Rural Carriers. Rural carriers are not required to report at post offices for any purpose on legal holidays. When a holiday falls on Sunday, the following Monday is observed. Rural carriers are not permitted to substitute any other day.

.42 Substitute Rural Carriers. When the holiday falls on a service day for a triweekly route, the carrier is not required to serve until the next scheduled service day.

518.5 CAG A—K Postmasters

This applies to all postmasters except CAG L (NCD 1-7) postmasters. If a holiday falls on a Saturday which is a nonscheduled workday, the preceding Friday is designated as the postmaster's holiday. If necessary, additional work hour allowances are authorized for the post office to provide relief coverage during the postmaster's absence on holiday leave.

519 Administrative Leave

519.1 Definition. *Administrative leave* is absence from duty authorized by appropriate postal officials, without charge to annual or sick leave and without loss of pay.

519.2 Events And Procedures For Granting Administrative Leave

.21 Acts Of God

.211 General. *Acts of God* involve community disasters such as fire, flood, or storms. The disaster situation must be general rather than personal in scope and impact. It must prevent groups of employees from working or reporting to work.

.212 Authorizing Administrative Leave For Acts of God

a. Postmasters and Installations Heads. Postmasters and other installation heads have authority to approve administrative leave for up to 1 day.

b. Regional Postmaster General. Approval for administrative leave beyond 1 day must be obtained from the Regional Postmaster General. That official may authorize administrative leave beyond 1 day but not to exceed a total of 3 days. However, before approving administrative leave in excess of 1 day, the Regional Postmaster General should obtain complete details as to weather and road conditions, transportation, etc., to assist in making the decision.

.213 Determining the Cause of Absence. Postmasters and other appropriate postal officials determine whether absences from duty allegedly due to "Acts of God" were, in fact, due to such cause or whether the employee or employees in question could, with reasonable diligence, have reported for duty.

.214 Early Dismissal Due to Acts of God. When employees are dismissed from duty before the normal completion of their tour of duty due to an "Act of God," the following applies:

a. Full-Time Employees are entitled to credit for hours worked plus enough administrative leave to complete their tour of duty. This combination of work and leave is not to exceed 8 hours in any 1 day.

b. Part-Time Regular Employees are entitled to credit for hours worked plus enough administrative leave to complete their scheduled hours of duty. This combination of work and leave is not to exceed 8 hours in any 1 day.

c. Part-Time Flexible Employees:

(1) In installations having 200 or more man years, and the part-time flexible employee works less than 4 hours, the part-time flexible employee is entitled to credit for hours worked plus enough administrative leave to produce 4 hours of creditable time.

(2) In installations having less than 200 man years and the part-time flexible employee works less than 2 hours, the part-time flexible employee is entitled to credit for time worked plus enough administrative leave to produce 2 hours of creditable time.

.215 Employees Prevented From Reporting. Employees scheduled to report who are prevented from reporting or who after reporting are prevented from working by an "Act of God" may be excused as follows:

a. Full-time and part-time regular employees receive administrative leave to cover their scheduled tour of duty not to exceed 8 hours.

b. Part-time flexible employees receive administrative leave for 2 or 4 hours, as provided in 519.214c.

.216 Employees On Annual Leave. Employees on annual leave, sick leave, or LWOP remain in such status. They are not entitled to administrative leave.

.217 Substitute Rural Carriers. Substitute rural carriers serving a vacant route or serving in absence of rural carriers on extended leave are treated the same as rural carriers:

a. If they are scheduled for duty and are unable to report to the postal installation, administrative leave is granted for the full day that the employees are scheduled to serve their routes. No equipment maintenance allowance is paid.

b. If employees are scheduled for duty and report to the postal installation but are unable to serve all or part of their routes through no fault of their own, they may be granted administrative leave for the remainder of the normal tour of duty for that day. Payment for equipment maintenance allowance is made, as employees are considered to be in duty status.

.22 Civil Disorders

.221 Decision To Curtail or Terminate Postal Operations. During times of civil disorders in communities, the postmaster or installation head determines whether conditions are such that postal operations are curtailed or terminated, taking into account the needs of the service, local conditions, and the welfare of postal employees.

.222 Civil Disorder Extends Beyond 3 Days. When civil disorder extends beyond 3 days and administrative leave is indicated as being necessary, prior approval is obtained through the Regional Postmaster General.

.223 Early Dismissal. Employees dismissed early because of civil disorder are treated the same as for early dismissals for "Acts of God." See 519.214.

.224 Employees, Prevented From Reporting. Postmasters are authorized to grant up to 3 days of administrative leave on a day-to-day basis to those employees who, through no fault of their own, are prevented from reporting to work. The following applies:

a. Full-Time Employees prevented from reporting in civil disorder situations are treated the same as employees in the "Act of God" situation. See 519.214a.

b. Part-Time Flexible Employees are not granted administrative leave except if scheduled to report but are prevented from doing so. Provisions in 519.214c apply.

.23 State and Local Civil Defense Programs

.231 No Charge To Leave. Full-time employees who volunteer and are selected by state or local authorities for civil defense assignments are authorized to participate in pre-emergency training programs and test exercises conducted by the state or local government. Participation in these activities during the employee's regularly scheduled tour of duty can not exceed more than 40 hours of administrative leave in any 1 leave year.

.232 Annual or LWOP. Employees who participate in civil defense activities other than those cited in 519.231 are granted annual leave or LWOP if it is possible to spare them without undue interference with the needs of the USPS.

.233 Availability For Civil Defense Assignment. Employees are designated as available for assignment to civil defense activities subject to the following conditions:

a. The employee's participation is requested by the state or local civil defense authorities.

b. The employee reasonably is expected to be available for assignment to civil defense activities in the event of an emergency.

c. The employee can be spared from regular duties for the required periods of participation.

.234 Key Role Restriction. Key roles in civil defense activities are *not* assigned to employees for whom a certificate of availability has been granted for military duty.

.235 Statement Requirement. On return to duty, employees are required to submit a written statement from the state or local civil defense authorities, showing days or hours of their participation.

.24 Voting Or Registering To Vote

.241 Policy. Employees are encouraged to exercise their voting rights. So far as is practicable, without seriously interfering with Postal Service, employees in the Postal Service, excluding casual and temporary employees, who desire to vote or register in any election or in any referendum on a civic matter in their community are excused for a reasonable time for that purpose on a day they are scheduled to work. Casual and temporary workers are encouraged to vote but are not eligible for administrative leave for this purpose.

.242 Administrative Determination. Postal officials in charge of installations obtain necessary information concerning the hours during which the polls are open in the political subdivisions in which their employees reside. They then make an administrative determination regarding the amount of excused absence necessary (and limits in accordance with 519.243). Employees are notified of this determination and of the procedures to be followed in obtaining advance approval for the absence.

.243 Voting

a. 3 Hour Rule. As a general rule, if the polls do not open at least 3 hours either before or after an employee's scheduled hours of work, the employees may be excused for the length of time that permits them to report for work 3 hours after the polls open or to leave work 3 hours before the polls close, whichever requires the lesser amount of time off.

b. Exception to 3 Hour Rule. Under exceptional circumstances, if the general rule in 519.243a does not permit sufficient time, an employee may be excused for the additional time needed to vote. However, time off must not exceed a full day.

c. Charge to Annual Leave/LWOP. If an employee's voting place is beyond normal commuting distance and if voting by absentee ballot is not permitted, (if voting) employees may be granted sufficient time off to be able to make the trip to the voting place to cast their ballots. When more than 1 day is required to make the trip to the voting place, postal officials observe a liberal policy in granting necessary time off for this purpose. Time off in excess of 1 day is charged to annual leave or, if annual leave is exhausted or the employee so requests, it is charged to LWOP.

.244 Registration. If the employee votes in a jurisdiction that requires registration in person, time off to register is granted on substantially the same basis as for voting, except that no time is granted if registration can be accomplished on a non-work day and the place of registration is within (reasonable) 1 day, round trip travel distance of the employee's place of residence.

.245 Restrictions. An employee is not allowed administrative leave for voting or registration during a period of absence on sick leave, annual leave, or LWOP pay.

.25 Blood Donations

.251 Policy. All postal employees are urged to cooperate fully with the public programs for the health and security of their community. The time necessary includes the time required for travel and the time required by the medical facility to process the blood donation.

.252 Time Allowed

a. General Allowance. Postal employees may be excused for that period of time deemed reasonably necessary to cover any absence from regular tours of duty to make voluntary blood donations, without remuneration to the Red Cross, or the community, or other nonprofit blood bank. This regulation does not apply to those employees who participate in this program on their own time, off duty.

b. Additional Time. In the case of employees in occupations for which the blood bank recommends additional time off following the blood donation, the time necessary includes the additional time recommended by the blood bank. Every effort should be made to have blood donations for such employees scheduled near the end of their tour of duty.

.253 Restrictions

a. The time allowed may in no instance exceed 8 hours. A full day's administrative leave may only be granted when there are unusual circumstances such as in rural areas where considerable travel may be involved. It is not intended that a full day's administrative leave be granted any employee for donating blood when the blood bank or facility is nearby.

b. Administrative leave for blood donation may be granted during a regular tour of the employee's basic work week, but only on the date of the blood donation. It is not granted to employees on suspension or in any nonpay status.

.254 Facility Arrangements. For group donations, postmasters or installation heads make arrangements with the blood bank to provide facilities (mobile) for on-site participation or arrange the hours of donation to present the least interruption and cost to the service.

.26 Funeral Services

.261 Absence Of Veterans To Attend Funeral Services. Full-time USPS employees (except rural carriers) who are veterans of any war, campaign, or expedition (for which a campaign badge has been authorized, see Exhibit 512.223b), or who are members of honor or ceremonial groups or organizations of such veterans, may be granted administrative leave, not to exceed 4 hours in any 1 day, to participate in funeral ceremonies for members of the armed forces of the United States whose remains are returned from abroad for final interment in the United States. Such participation is limited to service as active pallbearers or as members of firing squads or guards of honor. Absences in excess of 4 hours in any 1 day are charged to annual leave or to LWOP.

.262 Funerals Of Immediate Relatives Who Died In Combat Zone. Administrative leave not to exceed 3 days is granted to employees to make arrangements for or to attend the funeral of, or memorial service for, an immediate relative who died as a result of wounds, disease, or injury incurred while serving as a member of the Armed Forces of the United States in a combat zone. An immediate *relative* is defined as:

a. Spouse and their parents.

b. Children and their spouses.

c. Parents.

d. Brothers, sisters, and brothers-in-law and sisters-in-law (brothers and sisters of spouses and spouses of brothers and sisters).

.27 Postmaster Organizations

.271 Conventions

a. Time Limitation. Administrative leave (leave with pay) is authorized for postmasters and OICs for the purpose of attending organization conventions. Administrative leave for each postmaster and OIC does not exceed 10 working days in a leave year, as follows:

(*1*) A maximum of 5 working days per leave year for actual attendance at the annual national convention of one postmaster organization.

(*2*) A maximum of 3 working days per leave year for actual attendance at the annual state or multi-state convention of 1 postmaster organization which is held for the state in which the postmaster's or OIC's post office is located.

(*3*) A maximum of 2 working days per leave year for the travel time which is actually required by a postmaster or OIC in order to attend the national and/or state conventions, provided such travel time is also during a regularly scheduled work day.

b. Restriction. Administrative leave is not authorized for any other meeting, including training sessions, held by the organizations.

c. Advance Approval. Application for the intended administrative leave absence is approved in advance by the USPS manager to whom the postmaster or OIC directly reports. Any request for annual leave or LWOP to supplement administrative leave absence is approved in advance by the postal manager to whom the postmaster or OIC directly reports.

.272 Organization Business (Officer Other Than President Of A National Organization)

a. 50 Days Per Association. A maximum total of 50 days of administrative leave (leave with pay) is authorized each leave year for each association, for use by national officers and the national editor to conduct organization business.

b. Distribution. The national president designates in advance the amount of the combined maximum total of 50 days to be distributed individually among the officers and the editor. Such designations are furnished to the Senior Assistant Postmaster General, Employee and Labor Relations Group, who notifies each Regional Headquarters.

c. Annual Leave or LWOP. Beyond the foregoing provisions and those cited in 519.271, any postmaster holding a national office in one of the organizations must utilize annual leave or LWOP for other absence from the local post office in order to conduct business for the organization.

d. Advance Approval. Application for the intended absence on administrative leave (as provided) must be approved in advance by the postal manager to whom the postmaster directly reports. Any request for annual leave or LWOP to supplement the absence on administrative leave must also be approved in advance by the same postal manager.

.273 Recording Leave At Time Card Offices

a. Postmasters and OIC's record their own leave.

The absence on administrative leave is recorded on time cards using the following symbols:

For National Officer	O/(Number of Hours)
For National Conventions	N/(Number of Hours)
For State Conventions	S/(Number of Hours)
For Convention Travel	T/(Number of Hours)

b. Administrative leave is recorded in the "OL" column and LWOP is recorded in the "WOP" column.

.274 Travel/Per Diem. The Postal Service does not pay postmasters' or OICs' travel or per diem expenses for organization business or conventions, whether or not some of the time is devoted to workshops, seminars, or other training sessions on U. S. Postal Service policies, procedures, or operations. The Postal Service authorizes payment of those expenses only if a meeting or training is required or directed by the U. S. Postal Service. (See 683.4)

519.3 Physical Examination For Entry Into Armed Forces. Postal employees who are scheduled for physical examinations for entry into the Armed Forces, at times when they are also scheduled for postal duty, are given administrative leave for the time necessary to take the examination.

519.4 Relocation Leave

.41 Policy. An employee who is transferred or relocated in the interest of the Postal Service from one official station to another in the Postal Service is entitled to 5 days of administrative leave. The 5 days of administrative leave is not charged to any other leave. See Methods Handbook, Series M-9, *Travel,* Part 410.

.42 Requirements. An actual physical move of the employee's household is a requirement for eligibility for relocation leave. Therefore, employees who are relocated to another duty station in the same commuting area and who do not move their households are not eligible. The following employees are entitled to 5 days of relocation leave with pay when directed to transfer or relocate:

a. Employees who are transferred or relocated from one official duty station to another in the interest of the Postal Service.

b. Employees who request and accept a transfer in lieu of a separation or demotion, when separation or demotion is not for personal cause.

.43 Notation On Form 50. If any leave is granted by the losing duty station, the number of days allowed is noted in Item 30 of the reassignment Form 50, *Notification of Personnel Action.* Before granting relocation leave, the gaining duty station reviews the losing station's Form 50 to determine the additional leave which may be allowed.

.44 Limitations. Relocation leave may be taken before or after the physical move and may be taken a day or more at a time, it must be taken in whole days. In no instance does it exceed a total of 5 days. In the event that the employee later decides not to transfer to the new station, all relocation leave taken is charged to annual leave or LWOP.

519.5 State, Local, And Religious Holidays—Exclusion. Administrative leave is not granted for absence on religious or other holidays. To the fullest extent practicable, annual leave or LWOP is granted to employees for observance of their religious holidays.

519.6 First-Aid Examination and Treatment for On-the-Job Injury or Illness

.61 Employee on Regular Tour

If an employee on regular tour of duty is injured or becomes ill and the injury or illness can be treated so that the employee can return to duty during that tour, the employee is excused without charge to annual or sick leave. The employee is not required to clock out when leaving the place of duty for first-aid examination or treatment.

.62 Employee In Overtime Status

When an employee is directed by management to an on or off site medical unit due to illness or injury, all time spent waiting for and/or receiving medical attention, on the service day on which the illness or injury occurs which would have been worked but for the medical attention, is credited as work time even though overtime hours may be involved. The employee's time card is so noted and initialed by the supervisor.

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520 Health Benefits Program

521 Eligibility for Health Insurance Coverage

521.1 Employees Eligible. The following employees are eligible for health insurance coverage:

a. Officers-in-Charge except "off-the-street" Officers-in-Charge as noted under 521.2a.

b. Employees in the regular workforce expected to work at least 6 months each year.

c. Employees with career appointments, employed to serve under a cooperative work study program which

(1) will be in existence at least 1 year and

(2) requires the employee to be in pay status at least one-third of the total time required to complete the program.

d. Student-trainees with career appointments serving under a formal cooperative work-study program which requires them to be in a pay status for at least one-third of the total time required to complete the program.

e. Contract executives and others appointed by contract, provided:

(1) The contract requires personal services and covers a period in excess of 1 year.

(2) The individual is under the supervision and direction of the USPS.

(3) Work is performed on a full-time or specified part-time basis and the individual is paid on the basis of units of time.

f. American Nationals employed at postal installations in American Samoa, Micronesia and Guam.

521.2 Employees Not Eligible. The following employees, with certain exceptions, are not eligible for health insurance:

a. Casual and temporary employees (including "off-the-street" Officers-in-Charge) serving under an appointment limited to 1 year or less, *except* as eligible under 521.1. When individuals are hired as casual or temporary employees and they have previously served in a position in the USPS or another federal government agency wherein they were covered by the Health Benefits Program, there must be a break of at least 4 days between such service and the casual or temporary appointment.

b. Substitute rural carriers *except* those transferred from positions in which they were insured without a break in service of more than 3 calendar days.

c. Members of the Armed Forces.

d. Noncitizens whose permanent duty stations are located outside the United States or the Panama Canal Zone.

e. Employees paid on a contract or fee basis *except* as eligible under 521.1e. Ineligible contract employees include (1) contract job cleaners; (2) special delivery messengers at post offices in Cost Ascertainment Groups (CAG) H through L; (3) clerks-in-charge of rural or contract stations; (4) mail messengers and all other contract carriers; and (5) clerks and leave replacements at post offices in CAG L.

f. Employees whose pay on an annual basis is $350 a year or less or whose salary for the pay period is too small to justify withholdings.

g. Employees expected to work less than 6 months in each year, except as provided in 521.1 c and d, and employees whose employment is of uncertain or temporary duration or for brief intervals.

521.3 Family Members Eligible

.31 General

.311 The employee's spouse and unmarried children under age 22, including legally adopted children, are eligible for coverage.

.312 Stepchildren, foster children, and recognized illegitimate children are eligible, if they live with the employee in a regular parent-child relationship.

.313 An unmarried child over 22 who is incapable of self-support because of mental or physical incapacity which existed before the child's 22nd birthday is eligible if the incapacity is established as explained in 526.

.32 Determining Family Membership Status of Children

.321 Adopted Children. Applicable state law governs whether or not a child has been adopted. The child is considered adopted for health benefits purposes if the adoption decree is final or if it is interlocutory and state law provides that the rights of the child generally are the same as those of an adopted child.

.322 Stepchildren. If not contrary to state law, the illegitimate child or adopted child of the employee's spouse is the employee's stepchild. However, a stepchild by a previous marriage of the employee's spouse is not the employee's stepchild. Whether or not an employee's stepchild remains a stepchild and a family member after the employee's divorce from, or the death of, the natural parent is determined in accordance with applicable state law:

a. The majority of states rule that the relationship of the stepchild continues.

b. A minority of states rule that the relationship is terminated by the death of, or divorce from, the natural parent.

c. If there is no authoritative state ruling, the majority rule is followed. This does not affect the requirement, which still must be met, that the stepchild live with the employee in a regular parent-child relationship.

.323 Foster Children. To be considered a foster child for health benefits purpose, the child must live with the employee in a regular parent-child relationship, and the employee must be rearing the child as his own. The employee need not be related to the child nor have taken steps to legally adopt the child, but there must be an expectation that the employee will continue to rear the child into adulthood.

a. Usually the employee is responsible, in whole or in part, for the child's support. However, a foster parent-child relationship between the child and an employee may exist even though the child receives support from other than the employee (e.g., social security payments, support payments from a parent).

b. Common examples of a foster parent-child relationship are: (1) a child's parents have died and the child is living with and supported by a grandparent (or other close relative) who is an employee; (2) a child is living with an employee under a pre-adoption agreement; or (3) a child is in the legal custody of an employee.

c. The fact that a child's natural parents are alive does not preclude existence of a foster parent-child relationship between a child and an employee with whom the child is living, provided the employee is rearing the child and expects to continue to rear the child into adulthood. However, if one or both of the child's natural parents live with the child and the employee, a foster parent-child relationship between the child and the employee does not ordinarily exist even if the employee is supporting the child.

d. A child who has been placed in the employee's home by a welfare or social service agency under an agreement whereby the agency retains control of the child or pays for maintenance does not qualify as a foster child as there is no regular parent-child relationship. Similarly, an arrangement under which a child is temporarily living with an employee as a matter of convenience does not qualify the child as a foster child.

.324 Child's Temporary Absence on "Living-With" Requirement. Periods of temporary absence while attending school or for other reasons does not affect the family member status of stepchildren, foster children, or illegitimate children otherwise considered to be living with the employee in a regular parent-child relationship. Also, an employee's stepchild, foster child, or illegitimate child who lives with the employee at least 6 months a year under a court order directing shared custody may be considered living with the employee in a regular parent-child relationship.

.325 Affect of Child's Marriage on Family Member Status. Married children do not have family member status. If their marriages dissolve, the following rules apply:

a. Divorce. Children under age 22 who were married and divorced before the effective date of their parent's enrollment are members of the employee's family. However, a child who was already married at the time of the parent's enrollment does not become a family member upon divorce from or death of spouse. When both parents are federal or postal employees, this rule cannot be circumvented by the cancellation of the existing enrollment and by new enrollment in which the other parent is the principal subscriber.

b. Annulment. Annulment of a marriage of a child under age 22 has the effect of restoring family member status to the child. The restoration of a child's family member status and coverage under a continuing family enrollment dates back to the effective date of the annulment decree in the case of a voidable marriage (i.e., one that was legal when performed but was annulled, e.g., for fraud or lack of consummation). If the marriage was illegal from the beginning, (i.e., one of the partners was already married) there is no break in family member status, and coverage under a family enrollment continues uninterrupted.

521.4 Relatives Not Eligible

The employee's parents, brothers, sisters, and relatives, except those eligible under 521.3, are not eligible for health benefits coverage as family members, even though they may live with and be dependent upon the employee for support.

522 Health Insurance Plans Available

522.1 Types of Participating Plans

.11 Indemnity Benefit Plan. The Indemnity Benefit Plan is a government-wide plan available to all eligible postal employees no matter where they reside. It is sponsored by the insurance industry and is administered for them by the Aetna Life and Casualty Insurance Company. The plan provides cash reimbursement either to employees or, at their request, directly to doctors and hospitals.

.12 Service Benefit Plan. The Service Benefit Plan is a government-wide plan available to all eligible postal employees no matter where they reside. It is sponsored and administered by the national Blue Cross-Blue Shield organization. Generally, it provides benefits through direct payments to doctors and hospitals.

.13 Employee Organization Plans. Employee organization plans are sponsored by an employee organization, and are available only to employees who are, or who become, members of the particular sponsoring organization. Generally, they provide benefits by cash reimbursement, either to the employee or, at the employee's request, directly to doctors and hospitals. Information concerning membership is obtained from the local representative, or directly from the headquarters office of the employee organization (or union).

.14 Comprehensive Medical Plans. Comprehensive medical plans are available only to employees in certain geographic localities. This plan is either a group-practice plan which provides benefits in the form of medical services by teams of doctors and technicians practicing in their own medical centers, or it is an individual-practice plan which provides direct payments to doctors with whom the plan has an agreement. These plans also provide hospital benefits. The enrollment area for each plan is stated in its brochures.

522.2 Description of Participating Plans

Each plan has a brochure which fully describes the benefits, maximums, limitations, exclusions, and other provisions of the respective plan. (See 529.3 for instructions for requisitioning brochures.)

523 Registration

523.1 Initial. All employees who initially become eligible must register either to enroll in a plan or not to enroll. If employees register not to enroll, they are thereafter precluded from enrolling until the occurrence of an event permitting enrollment. Except as stated in 524.52, employees must register within 31 days after they become eligible. (See 529 for information relating to health benefits forms and brochures.) Each installation has a follow-up system to remind employees of the 31 day deadline for enrolling and to insure that all employees register on a timely basis.

523.2 Employee Declines to Register. When an employee declines to register or registers not to enroll, the employing installation contacts the employee and verifies the employee's intentions within the 31 day registration period, it practicable. If the employee refuses to register, the employing installation fills out SF 2809 with the employee's name, social security number, etc. A notation is made in the Remarks Section that the employee was contacted but declined to register.

523.3 Late.

.31 Late registration may not be made retroactively. When an employing office determines an employee was unable, for causes beyond control, to register or to change enrollment within the time limits prescribed, the employing office accepts the employee's registration within 31 days after notifying the employee of the determination. Employee's failure to read informational material is not considered a cause beyond the employee's control. Some examples of causes beyond an employee's control are:

a. Employing installation failed to give new employee information about health benefits.

b. Employee previously was told by employing installation that (s)he was not eligible to register.

c. Employee formerly covered under someone else's enrollment was belatedly told of termination of that coverage.

.32 When an employing office accepts a late registration, it should record in "Remarks" on SF 2809 its determination that the employee was unable to timely register for cause beyond control, giving the date the employee was notified of the determination. In the case of an employee who is registering to enroll, it is especially important that this be documented on the SF 2809 for purposes of meeting the "enrolled from first opportunity or last five years" requirement for continuing enrollment after retirement. The employee's reason for failing to timely register need not be stated on the SF 2809; however, a memo stating that reason should be attached to the employing office copy of SF 2809.

523.4 Registration By Proxy. An employing office may permit a representative of an employee to register for the employee if the representative has written authorization to do so.

523.5 Registration in an Employee Organization Plan. Employees who are not members of employee organizations may register to enroll in a plan sponsored by an employee organization if they promptly take steps to become members. The employing office need not ascertain whether or not an employee is a member of an organization when accepting the registration form to enroll in the organization plan. The organization verifies membership. However, the employing office ascertains that the employee understands that membership in the organization which sponsors the plan is required.

524 Enrollment

524.1 Types of Enrollment

.11 Self-Only. A self-only enrollment provides benefits only for the enrolled employee. An eligible employee may enroll for self-only even though the employee has a family.

.12 Self and Family. A self and family enrollment provides benefits for the enrolled employee and members of his family. It automatically covers all eligible family members even if they are not listed on SF 2809 and even if the enrolled employee may wish to exclude some of them. An employee's failure to list an eligible family member does not deprive the member of the right to benefits under a family enrollment. Note:

a. Eligible employees may enroll for self and family even though it appears they have no family members.

b. The listing on SF 2809 of a person who is not a family member does not entitle that person to benefits.

c. If an employee lists (on SF 2809) a person who is not an eligible family member, the employing office explains to the employee that the person is not eligible for coverage. The ineligible person's name is deleted from SF 2809.

524.2 Husband and Wife Both Eligible to Enroll. No person may be covered by two enrollments. Thus, if both husband and wife are federal or postal employees and are eligible to enroll, one or the other may enroll, for self and family or each may enroll for self-only in the same or different plans.

524.3 Dual Coverage Restriction

.31 General. No person may be enrolled in his own name while covered as a family member of another person either enrolled under this program or enrolled under the Retired Federal Employees Health Benefits Program.

.32 Procedures to Be Followed By Employing Office

.321 The employing office checks each enrollment to make sure an employee is not covered under two enrollments. If so, arrangements are made to terminate one of the enrollments as soon as possible. If the employees involved cannot agree on which enrollment will continue, the employing office or offices make(s) the decision in accordance with the following principles:

a. Coverage of any children who are eligible family members is protected.

b. A family enrollment takes precedence over a self-only enrollment.

c. A husband's family enrollment takes precedence over a wife's family enrollment.

.322 If the person whose enrollment must be terminated in order to avoid or eliminate dual coverage refuses to cancel, the employing office cancels the enrollment, identifying the action on SF 2809 as an agency action, and explains the reason.

524.4 Correction of Erroneous Enrollment. The enrollment of a person who is not eligible to enroll, but who was permitted to enroll through error, is terminated or voided (as appropriate) by the employing office as soon as the error is discovered. The employing office makes sure that all employees whose erroneous enrollments are so terminated or voided understand what action has been taken regarding their enrollments, the reasons for, and effect of, such action as the following:

a. Terminated Enrollments. Enrollments are terminated, if withholdings and contributions were made during the period of erroneous enrollment. Termination is effective at the end of the pay period in which the action to terminate is taken. No adjustments are made for contributions and withholdings which have already been made and the employee and covered family members are entitled to the full benefits of the plan during the time the employee was erroneously enrolled. The employee is entitled to convert to a nongroup contract the same as an employee whose enrollment is terminated.

b. Voided Enrollments. If no withholding or contributions were made before the erroneous enrollment was discovered, the enrollment is voided. The employee is responsible for any benefits provided and the carrier is responsible for recoupment of any claims expense incurred during this period.

524.5 Enrollment/Change in Enrollment

.51 General. An employee is given the opportunity to enroll or to make changes in enrollment only as specified herein, *except* that the employee may change from a self and family enrollment to a self-only enrollment at any time.

.52 Events Permitting

.521 New Appointment. A new employee eligible for coverage may register to enroll, within 31 days after date of appointment, in any available plan, option, and type of enrollment.

.522 Change in Employment Status. Employees who have been employed under conditions excluding them from coverage but whose employment later changes so that they are no longer excluded may enroll in a plan of their choice within 31 days after the change.

.523 Open Season. During open season, an eligible employee who is not enrolled may register to be enrolled, and an enrolled employee may change enrollment from one plan or option to another or from self-only to self and family, or both.

.524 Reemployment After Break in Service of More Than 3 Days. An eligible employee who is reemployed after a break in service of more than 3 days registers electing to enroll or not to enroll within 31 days after date of new appointment, as though a new employee.

.525 Return to Duty After 365 Days in Nonpay Status or After Reduction-in-Force Furlough. An employee whose enrollment is terminated because the employee has been in a nonpay status for 365 days, or has been furloughed because of reduction-in-force, registers within 31 days after return to pay status. The employee may enroll in any plan, option, and type of enrollment, as though a new employee. An eligible employee who was not enrolled when nonpay status or furlough began is not permitted to enroll upon return to pay status. However, if an event occurred which would have permitted enrollment while in nonpay status (e.g., marriage or open season) the employee's enrollment is accepted as a late registration due to cause beyond the employee's control (see 523.3).

.526 Return from Military Service

a. An unenrolled employee who entered the military for service not limited to 30 days or less, may register to enroll in either option of any plan available within 31 days after return to civilian duty.

b. An enrolled employee whose enrollment ended on entry into military service has the same enrollment reinstated, effective the day of restoration to duty in a civilian position in the exercise of reemployment rights.

c. The restored employee, whose enrollment is reinstated, may change enrollment from self-only to self and family or the reverse, or from one option or plan to another, or a combination of these changes, within 31 days after restoration to duty in a civilian position.

.53 Family Changes Affecting Enrollment

.531 Change in Marital Status

a. Criteria. A change in marital status is any one of the following:

(*1*) Marriage
(*2*) Divorce
(*3*) Annulment
(*4*) Death of Spouse

b. Options. As a result of a change in marital status, an employee may enroll or, if already enrolled, may change the enrollment from self-only to self and family or from one plan or option to another, or both, during the period beginning 31 days before a change in marital status and ending 60 days after the change. If an enrollment or change of enrollment becomes effective before the anticipated date of change in marital status, and the change in marital status does not occur, the action taken is voided. When a change in plan is involved, the SF 2810 to the losing carrier is also voided.

c. Coverage for New Spouse. An employee may provide immediate coverage for the new spouse by filing SF 2809 during the pay period before the anticipated date of marriage. If the effective date of the change is before the marriage, the new spouse is not eligible for coverage until the actual day of the marriage. An employee may take advantage of this opportunity to change enrollment only once during the period allowed for registration changes in connection with a change in marital status. The employee may not, for example, change from self-only to self and family and then later (but still within the 91-day period) change plans or options.

d. Name Change. A female employee who enrolls on this basis before the date of her marriage enters her name in Part A of SF 2809 as "Now: ________ will be: ________." An enrolled female employee who changes her enrollment also enters her former name and her new married name. The reason for the change and the date of the marriage is given in Part D of SF 2809.

.532 Change in Family Membership Status

a. An enrolled employee may change enrollment from self-only to self and family within 60 days after any change in family membership status, other than a change in marital status. However, the employee may not change plans or options.

b. If husband and wife are each enrolled for self-only, and they wish to have a self and family enrollment because of a change in family membership status, one may change to a self and family enrollment if the other cancels the self-only enrollment.

.533 Change in Spouse's Employment Status. When both husband and wife are covered under the Federal Employees Health Benefits Program in a self-only enrollment, and a change in employment status results in one of them losing eligibility for health benefits, the eligible employee may change enrollment to self and family within 31 days after the other enrollment is terminated.

.534 Employee Loses Coverage As Family Member

a. An employee enrolled for self and family may change enrollment to self-only at any time. An employee who loses coverage because of such change in the covering enrollment may enroll for self-only in either option of any plan available within 31 days after change of the covering enrollment has been filed. The employee may not, however, enroll for self and family.

b. If an employee loses coverage as a family member for any reason other than cancellation or change in the covering enrollment to self-only, the employee may enroll for self-only or for self and family in either option of any plan available within 31 days after termination of the covering enrollment. This may occur when (1) enrolled spouse or parent enters military service, or separates from the Postal Service, or (2) employee covered by parent's enrollment becomes 22 or marries.

c. If the covering enrollment terminates because of the death of the enrolled spouse or parent, the surviving employee has 60 days instead of 31 in which to enroll. If the employee also becomes a survivor annuitant, the enrollment may continue as that of a survivor annuitant or the employee may enroll in any plan for which eligible as an employee whose marital status has changed. If the employee elects to enroll as an employee and later is separated or the employee status otherwise changes so that enrollment must be terminated, the employee may continue the enrollment as a survivor annuitant. In this event, the employing office terminates the enrollment on SF 2810 and advises the survivor annuitant to apply to the Commission for continuation of enrollment as an annuitant.

d. If the covering enrollment terminates because of cancellation by the enrolled spouse or parent, the employee who has been covered as a family member does not then have the right to enroll. However, the employee may enroll when the occurrence of some other event provides such opportunity.

.535 Employee Reaches Age 19. An employee who is not enrolled may enroll in either option of any plan available within 31 days after becoming 19.

.54 Family Changes Not Affecting Enrollment

.541 General

If a change in the employee's family does not affect enrollment, it is not necessary to report such change to the employing office for health benefits purposes. However, the employee's plan may request this information, including evidence of family relationship. Examples of changes that would not affect enrollment are:

a. Birth of a child and the parent already has a family enrollment.

b. Death of the employee's spouse and there are surviving children and the employee has a family enrollment.

c. Attainment of age 22 or marriage of a child of an employee, and there are other children or a spouse still covered under the family enrollment.

.542 Name Change

a. If an employee's name changes for any reason, the employing office reports the change to the health benefits plan. *Example:* An employee legally changes names or a female enrolled for self-only marries but retains her self-only enrollment. If no other changes are involved, the employing office reports the name change on SF 2810.

b. If a female employee with a self-only enrollment reports a name change due to marriage, the employing office reminds her of the opportunity to change her enrollment. If she decides to change her enrollment, no SF 2810 is required, but a new SF 2809 is submitted in accordance with 524.531c.

524.6 Effective Date of Enrollment or Enrollment Change

.61 New Enrollment During Open Season. A new enrollment during open season becomes effective on the first day of the first pay period which begins in the next following year and which follows a pay period during any part of which the employee is in a pay status.

.62 Change to Self-Only. A change from a self and family enrollment to a self-only enrollment becomes effective on the first day of the pay period which begins after the completed SF 2809 is received in the employing office. However, if the employee requests a retroactive change and satisfies the employing office that there were no family members eligible for coverage under the family enrollment, the change may be made effective, retroactively, as of the first day of the pay period following the one in which there were no family members eligible for coverage. In this event, PDCs make appropriate adjustments in health benefits withholdings and contributions upon receipt of an authorizing memorandum from the installation.

.63 Change of Enrollment During Open Season. A change of enrollment during open season becomes effective on the first day of the first pay period which begins after January 1 of the following year.

.64 Change to Self and Family to Provide Coverage to Child. The effective date of a change to self and family which is made in conjunction with the birth of a child, or the addition of a child as a new family member, is effective the first day of the pay period in which the child is born or becomes a family member, if the enrollee is in pay status during any part of the pay period in which the child is born or added to the family.

If not in pay status during the pay period in which the child is born or added, however, the enrollment shall not be effective until the first day of the pay period in which the enrollee returns to pay status.

.65 All Other Enrollments or Changes in Enrollment. All other enrollments or changes in enrollment become effective on the first day of the first pay period which begins after the SF 2809 is received by the employing office and which follows a pay period during any part of which the employee is in pay status.

524.7 Termination of Enrollment

.71 Cancellation By Employee. An employee may cancel enrollment at any time by completing and submitting to the employing office an SF 2809, registering to cancel. The cancellation becomes effective on the last day of the pay period after the one in which the SF 2809 is received in the employing office. No person covered by an enrollment that has been voluntarily cancelled is entitled to temporary extension of coverage or to the right to convert to a nongroup health benefits contract.

.72 Discontinuance of Plan or Part Thereof. An employee whose enrollment is terminated because of the discontinuance of the plan or option or because of new limitations on the service area of, or the geographic area served by a comprehensive plan, may change to either option of any other plan for which eligible and from self-only to self and family. If a plan, or part thereof, is terminated, the Commission gives special instructions to enrollees regarding their rights and the procedures to be followed.

.73 Membership Termination in Employee Organization

.731 If an employee who is enrolled in an employee organization plan ceases to be a member of the organization, the plan may instruct the employing office to terminate the enrollment, subject to a 31 day temporary extension of coverage. Action to terminate the enrollment for this reason can be initiated only by the plan, not by the employee. The plan sends a copy of its notice to the employee:

a. On the basis of either the original or the copy of the notice, the employing office terminates the enrollment on SF 2810 with a note in *Remarks* similar to the following:

> *Your enrollment was terminated by the plan because you are no longer a member of the sponsoring employee organization. You may enroll in another plan within 31 days after the date in Item 7A.*

b. The date in Item 7A is the last day of the pay period in which the plan's notice of termination is received by the employing office.

.732 An employee whose enrollment is so terminated may enroll in any plan which is available, within 31 days after the effective date of termination. The employee may change options but may not change from self-only to self and family.

.733 If the employee enrolls within this 31 day period the employee is considered as having been continuously enrolled (for purposes of continuing enrollment after retirement.)

.74 Effective Termination Dates of Employee Enrollment. An employee's enrollment terminates, subject to a 31 day temporary extension of coverage for conversion to a nongroup contract, on the earliest of the following dates:

a. The last day of the pay period in which furloughed by reason of reduction in force.

b. The last day of the pay period in which separated other than for transfer or retirement or because of a compensable disability under conditions entitling the employee to continue the enrollment.

c. The last day of the pay period in which employment status changes so as to exclude the employee from coverage.

d. The last day of the pay period in which the employee dies unless survived by a member of the family entitled to continue enrollment as a survivor annuitant.

e. The 365th day of nonpay status or, if the employee is not entitled to any further continuation because the employee has not had 4 consecutive months of pay status since exhausting the 365 days continuation of coverage in nonpay status, the last day of his last pay period in pay status.

f. The day the employee is separated to enter military service for a period not limited to 30 days or less.

.75 Effective Termination Dates of Family Member Coverage. The coverage of a member of the family of an employee terminates on the earlier of the following dates:

a. The date on which the enrollment covering the family member is cancelled, changed to self-only, or terminates (unless the employee dies and there is a survivor annuitant eligible to continue the enrollment).

b. The date on which the family member is no longer considered to be a member of the family for purposes of health benefit coverage. *Example:* Coverage of an employee's child terminates on the day the child marries or reaches age 22.

.76 Temporary Extension of Coverage

.761 For Enrolled Employee. Coverage for an enrolled employee continues temporarily without cost for 31 days after the enrollment terminates for any reason except voluntary cancellation.

.762 For Family Member. Coverage for any family member who loses coverage other than by the employee's voluntary cancellation, or by the employee's enrollment change from self and family to self-only continues for 31 days. (A change to self-only is considered a cancellation for the family members who were covered under the enrollment, and they are not entitled to temporary extension of coverage for conversion.)

.763 For Confined Employee or Family Member. An employee or family member who has been granted a 31 day extension of coverage and who is confined to a hospital or other institution for care or treatment on the 31st day of the temporary extension of coverage, is entitled to continuation of benefits of the plan during continuance of the confinement up to a maximum of 60 days after the end of the temporary extension.

.77 Conversion Rights

.771 Employee's and Family Member's Right to Convert. If an employee's enrollment ends for any reason other than voluntary cancellation, or if the coverage of a family member ends for any reason, except when an employee cancels or changes to a self-only enrollment, the person whose enrollment or coverage is ended has a right to convert, without evidence of insurability, to a non-group health benefits contract offered by the health benefits plan. A family member who loses coverage because the employee cancels or changes to self-only enrollment does not have a conversion right.

.772 Employing Office Responsibility. In a case in which the employee's coverage is terminated, the employing office issues SF 2810, *Notice of Change in Health Benefits Enrollment,* as promptly as possible due to the limited time allotted for conversion. The employing office is not expected to monitor conversion rights of family members. It is the responsibility of an employee (or the person who loses status as a family member) to timely apply for a conversion contract. However, from time to time, employing offices publish reminders of a family member's right to convert. These reminders can be in the form of bulletins, letters, memos, etc.

.773 Application for Conversion. Application for conversion (by letter in the case of family members or on the back of the enrollee's copy of SF 2810 in the case of employees) is made to the nearest office of the plan. Normally, the application is made, and the first premium paid to the carrier, within 31 days after termination of the enrollment. In the case of a family member, application can be made and premiums paid after termination of coverage under the enrollment. If the notice to the employee on SF 2810 is delayed, the employee has until 15 days after the date in Item K on SF 2810 in which to apply for conversion. In no case is SF 2810 given to an employee later than 75 days after the effective date of termination of enrollment.

.774 Effective Date of Conversion. A converted contract becomes effective at the end of the 31 day period of temporary extension of coverage, even though the employee or a family member may be confined in a hospital on the 31st day and, therefore, entitled to a further extension of coverage.

.775 Benefits and Costs of Conversion Contract. Many plans do not provide the same benefits under the converted non-group contract as are provided under federal employee group plans. The premium rates are different, and there is no Postal Service or government contribution to the cost of the non-group conversion contract. An employee interested in converting is advised to contact the local office of the plan for information about the benefits and cost of its conversion contract.

.78 Reinstatement of Enrollment After Conversion

.781 If, on termination of enrollment an employee obtained a conversion contract, and the enrollment later is reinstated retroactive to the effective date of the termination (as in the case of an employee who was removed and later is ordered restored to duty with full restitution of back pay), the employee may obtain a refund of all premiums paid on the conversion contract. The employee applies in writing to the plan for the refund.

.782 If the employee received benefits during the time the conversion contract was in effect, the employee is entitled to an adjustment of the difference between the benefits paid by the carrier under the conversion contract and benefits payable under the enrollment in this program.

524.8 Cost of Enrollment

.81 U.S. Postal Service Contribution. USPS contribution for health benefits is adjusted, as required, on the first day of the first pay period of each calendar year and on dates set by the National Agreement or management decision.

.82 Employee Withholding. The employee's share of the cost for health benefits is the difference between the USPS contribution and the total health benefits premium for the plan, option, and type of enrollment selected by the employee. Employees shares are withheld from their pay each pay period. If the amount of salary for a pay period is not enough to cover the full withholding, no withholding (or Postal Service contribution) is made for that particular pay period. Deductions for retirement, FICA, and federal income tax have priority over health benefits withholdings.

.83 U.S. Postal Service Health Benefits Schedule. The Postal Service Health Benefits Schedule gives complete cost information. Information on any forthcoming change in the cost of participating health plans is made available during each open season, by publication in the Postal Bulletin, and in BRI 141-212(PS), *(Current Year) Biweekly Withholding Rates.*

525 Special Circumstances Affecting Health Insurance Coverage

525.1 Office of Workers' Compensation Programs (OWCP)

.11 Requirements to Continue Enrollment

.111 Employee. An employee's enrollment (and coverage of family members under a family enrollment), as well as enrollment of surviving beneficiaries, continues when the employee enters on the compensation rolls of the Office of Workers' Compensation (OWCP), provided the employee meets the following requirements:

a. The employee was enrolled (or covered as a family member) in a plan under the health benefits program:

(*1*) During the 5 years of service (service in which the employee was eligible to be enrolled) preceding the start of compensation, or

(*2*) During all service since the first opportunity to enroll, or

(*3*) Continuously for the full period or periods of service beginning with the enrollment which became effective no later than December 31, 1964. Service means service in which the employee was eligible to be enrolled. The employee is not required to have been an enrollee continuously, but continuously covered by an enrollment. *Examples:*

- Enrollee was for a time covered as a family member under the Uniformed Services Health Benefits Program.
- An employee who belatedly enrolled within 31 days after the employing office determined he was unable to timely enroll for reasons beyond control may be considered as having been enrolled since the first opportunity. (Employing office determination).

b. The employee is receiving compensation (OWCP determination).

c. The Labor Department determines that the employee is unable to return to duty. (OWCP determination).

.112 Survivor. Enrollment of a deceased employee continues for surviving family members of a deceased employee if the following requirements are met:

a. Deceased employee was enrolled for self and family at the time of death.

b. At least one of the covered family members received compensation as a surviving beneficiary under the Federal Employee's Compensation Act.

.12 Transfer of Enrollment

.121 Transfer to OWCP. Enrollment is transferred to OWCP only on that organization's request. OWCP ordinarily does not request transfer unless it expects to compensate an employee for 6 months or longer. Note:

a. OWCP does not request transfer for an employee who does not meet the requirements for continuing enrollment as a compensationer.

b. Until OWCP requests transfer of the enrollment, an employee receiving compensation but no salary is treated for health benefits purposes as any other employee in non-pay status. Enrollment continues for up to 365 days without contributions or withholdings. At the end of the 365 day period, enrollment is terminated if it has not been transferred to OWCP.

.122 Transfer Back to Employing Office. The enrollment of an employee which was transferred to OWCP is transferred back to the employing office when the employee returns to duty and pay status even if the employee still receives reduced compensation from OWCP, provided the employee is eligible for continued coverage. If the employee is not eligible for continued coverage, enrollment is terminated.

.13 Withholding and Contribution By OWCP

.131 Effective Dates. Whether or not OWCP requests transfer of the enrollment, it makes health benefits withholdings and contributions from the date compensation began or the date following that on which the employing office withholdings and contributions ceased, whichever is later. No withholdings or contributions are made when an employee receives compensation for less than 29 days. Withholdings and contributions cease when an enrollment is terminated because the person has been in non-pay status for 365 days and is not otherwise eligible to continue the enrollment.

.132 Health Benefits Refund Program

a. Health benefits premiums are deducted by OWCP at the rate applicable to other federal employees. This rate is higher than the USPS rate. Postal employees enrolled in a health benefits plan who are in a LWOP status and who are simultaneously being paid by OWCP are due a refund for the health benefits overpayment.

b. To effect a refund, each installation prepares a quarterly report using the format in Exhibit 525.132. Note:

(*1*) Prepare the report on USPS letterhead and have it signed by the postmaster (or designee).

(*2*) Submit the report no later than 2 weeks after the end of the FY quarter to:

Benefits and Services Branch
Room 10622
Office of Compensation
U.S. Postal Service Headquarters
Washington, DC 20260

SSN	Finance Number	Blank Hdqtrs. Use	HB Code	Begin MO	Begin DA	Begin YR	End MO	End DA	End YR	First Initial	Middle Initial	Last Name
012345678	101234		102	1	1	77	3	31	77	J	A	Doe

Exhibit 525.132—Refund Report Format

.14 Procedures for Continuation of Enrollment

.141 Reporting to OWCP. When reporting the compensable injury or illness to OWCP, if the employee has been enrolled (a) since the first opportunity or (b) for the 5 years immediately preceding the start of compensation, or (c) from on or before December 31, 1964, certify to this effect by noting the Remarks Items of OWCP Form CA 4 to show the enrollment code number and the beginning and ending dates of the pay period in which the employee's pay ceased. No documentation of this certification is required to accompany the CA 4.

.142 OWCP Determines Employee Is Eligible. If OWCP determines that the employee is eligible to continue the enrollment and that the employee is in receipt of compensation for at least 6 months, it requests transfer of the enrollment. The transfer is accomplished on SF 2810 in the same manner as any other transfer of enrollment.

.143 Pending OWCP's Request for Transfer

a. When the total period of disability is more than 29 days, pending OWCP's request for transfer of the enrollment, take whichever of the following actions is necessary and appropriate:

(*1*) If the employee is separated, check with OWCP to determine whether or not the enrollment can be transferred to OWCP. If it can be, the transfer is made on Form 2810; if it cannot be, enrollment is terminated.

(*2*) If the employee makes any permissible change in enrollment, notify OWCP by letter as soon as possible of the change and its effective date.

(*3*) If the enrollment has been transferred to OWCP, and the employee subsequently is separated, notify OWCP by letter of the separation so that OWCP knows how to dispose of the enrollment if compensation payments cease.

b. If the total period of disability is less than 29 days, these procedures do not apply, and no action need be taken on the enrollment.

.144 Employee Not Eligible To Continue

a. For an employee who is enrolled but is not eligible to continue the enrollment with OWCP, take whichever of the following actions is necessary and appropriate:

(*1*) Place a notation in the Remarks Item of OWCP Form CA 4 that the employee is "Not Eligible to Continue Health Benefits." (OWCP does not require documentation of this notation on the CA 4 and handles the compensation claim as usual.)

(*2*) In the event the employee is separated, terminate the enrollment on SF 2810.

(*3*) If the employee remains on the rolls of the agency in non-pay status, carry the employee up to 365 days as an employee for whom no deductions are made. (OWCP makes deductions as shown in 525.13). At the end of the 365 days in continuous non-pay status, terminate the enrollment on SF 2810.

b. When an employee not enrolled for health benefits applies for compensation, place a notation in the Remarks Item of OWCP Form CA 4 that the employee is "Not enrolled for health benefits," and process the compensation claim as usual.

.145 OWCP Determines Not Eligible. In the event OWCP determines that an employee is not eligible to continue health benefits, OWCP notifies the employing office. If the employee remains on the agency rolls in non-pay status, carry the employee up to 365 days as an employee for whom no contributions or withholdings are made. (OWCP will have made deductions for the period.) If the employee continues in non-pay status after the 365th day, terminate the enrollment on SF 2810.

.146 On LWOP 10 Months, But Enrollment Not Transferred

a. If an employee has been carried in non-pay status for 10 months but OWCP has not requested transfer of the enrollment, contact the appropriate OWCP office to determine what action should be taken on the enrollment before the employee's 365th day of continuous non-pay status.

b. If OWCP determines that the employee is not eligible to continue enrollment, terminate the enrollment on SF 2810, effective on the 365th day of continuous non-pay status.

c. If OWCP has been making withholdings, and does not expect to terminate compensation before the 365th day of continuous non-pay status, transfer the enrollment on SF 2810 as in any transfer to another payroll office.

d. If OWCP has been making withholdings, but expects to terminate compensation before the 365th day of continuous non-pay status, no health benefits action need be taken at that time. Check on the case again, however, before the 365th day of continuous non-pay status and, if compensation will not be terminated by the 365th day as OWCP anticipated, transfer the enrollment to OWCP on SF 2810.

.147 OWCP Terminates Compensation. If OWCP terminates compensation of an employee who meets the requirements in 525.111 but who does not return to pay status, the 365 days of non-pay status for health benefits purposes begin on the day after compensation terminates, even though the employee may have been previously carried in a non-pay status while on OWCP rolls. In such cases, OWCP transfers the enrollment back to the employing office, effective on the day after compensation terminates, if the enrollment had previously been transferred.

.148 Employee Returns to Duty

a. If an employee receiving compensation returns to duty, note the Remarks Item on OWCP Form CA 3 to show the beginning and ending dates of the pay period in which the employee returns to work. (If the report is made by telegram instead of CA 3, these dates are included in the telegram).

b. If the enrollment is not transferred to OWCP, OWCP discontinues withholdings and contributions at the beginning of the pay period in which the employee returned to work. Resume withholdings and contributions beginning that date.

c. If the enrollment is transferred to OWCP, OWCP transfers the enrollment back to the employing office.

.149 *Employee Elects Retirement*

a. If an employee whose enrollment has been transferred to OWCP elects to retire and to receive annuity in lieu of compensation, the Civil Service retirement system asks OWCP to transfer the enrollment. If the employee still is carried on the agency's rolls in a non-pay status, the Postal Data Center notes in Remarks of SF 2809, "Health Benefits Enrollment Transferred to OWCP," and sends the form to the Civil Service retirement system as usual.

b. OWCP determines whether there are survivors who are eligible and who wish to continue the enrollment, and continues or terminates the enrollment as appropriate. If the survivors elect to receive survivor annuity in lieu of compensation, OWCP transfers the enrollment to the Civil Service retirement system.

525.2 Employees in Nonpay Status

.21 365 Day Enrollment Limitation. The enrollment of an employee, except as provided in 525.22, continues without cost to the employee while in a non-pay status for up to 365 days. If an employee returns to a pay status for at least 4 consecutive months, (any 4 month period during which the employee is in pay status for at least part of each pay period) after a period of non-pay status, the employee is entitled to begin a new 365 day period of continued enrollment.

.22 Employee Granted LWOP to Serve in Employee Organization

.221 *Procedures By Employing Office*

a. As soon as LWOP is authorized, the installation head notifies the employee of the right to elect to continue or discontinue health coverage. The employee's election must be in writing.

b. The installation head sets up a follow-up system to remind employees that an election must be filed within the 60-day time limit.

c. If an employee declines to make the election, the employing office contacts the employee if possible to urge that an election is made.

d. If, after being contacted, the employee continues to refuse to make the election, documentation is made of all action taken. Failure to make an election is considered an election to not continue the insurance. A copy of the election (or installation head's documentation) is filed in the employee's official personnel folder.

.222 *Procedures By Employee*

a. An employee who is granted LWOP to serve as a full-time officer or employee of an employee organization, composed primarily of federal government employees, may file an election to continue health insurance coverage for as long as the employee is in LWOP status. The election is filed with the installation head within 60 days after LWOP begins.

b. If the employee elects to continue health insurance coverage, the employee pays (or arranges to have paid) on a current basis, both the employee withholding and the USPS contributions from the beginning of the LWOP period.

c. If the employee does not elect to continue health coverage, the health insurance continues for the maximum LWOP period and then is terminated.

d. If an employee elects not to continue health benefits coverage, enrollment continues and terminates the same as for other employees in a non-pay status (365 days).

.23 Enrolled Employee in Nonpay Status Accepts Temporary Appointment

.231 If employees whose enrollments are being continued because they are on LWOP from their positions accept a temporary position in which they are eligible to enroll, their first employing office transfers the enrollment to the second employing office. If the employee is still carried in the first position in a LWOP status when the employment in the second position terminates, the enrollment is transferred back to the first employing office. The first employing office then follows the rules in 525.21 to determine the remaining length of time that the employee is entitled to continued coverage while in non-pay status. If, when the second appointment expires, the employee is not then being carried in the first position as an employee, the second employing office terminates the enrollment.

.232 The two employing offices concerned coordinate these actions to assure timely withholdings and contributions. If appropriate, the employing office which first becomes aware of such a situation contacts the other employing office and arranges for transfer of the enrollment.

.24 Erroneous Removal or Suspension

.241 Continuation or Termination of Enrollment. The enrollment of an employee who is suspended without pay continues for up to 365 days in non-pay status, as stated in 525.21. However, the enrollment of an employee who is removed and actually separated from the service is terminated at the end of the pay period in which the employee is removed.

.242 Employee Restored to Duty. If enrollments of employees who were removed or suspended without pay were terminated, and employees are ordered restored to duty on the grounds that the suspension or removal was unwarranted or unjustified, employees may elect either to: (a) have prior enrollment reinstated retroactive to the date it was terminated, or (b) enroll in the plan and option of their choice, the same as a new employee.

.243 Reinstatement of Enrollment. If employees elect to have the prior enrollment reinstated retroactively, withholdings and contributions are also made retroactively just as though the erroneous suspension or removal had not taken place. The employee's health benefits coverage is considered to have been continuously in effect, and the employee, and any covered family members, are retroactively entitled to the full benefits of the plan.

.244 New Enrollment. If the employee elects to enroll instead of having the prior enrollment reinstated, the enrollment is effective as stated in 524.5. The employee is not retroactively entitled to benefits from the plan and no retroactive withholdings and contributions are made.

.245 Notice to Employee. An employee ordered restored to duty after erroneous removal or suspension is notified of the health benefits coverage choices. Employees are also advised that if they elect to enroll as new employees, the period of suspension or removal (during which the enrollment was not in effect) is not considered as an interruption to continuous enrollment for purposes of continuing enrollment after retirement, provided individuals enroll within 31 days after the date ordered restored to duty.

525.3 Military Service

.31 Entry Into Military Service

.311 30 Days or Less. If an employee enters one of the uniformed services for a period limited to 30 days or less, the enrollment continues without change. Salary deductions and USPS contributions also continue, as long as the employee is in pay status.

.312 More Than 30 Days. If employees enter on active duty or active duty for training in one of the uniformed services for a period not limited to 30 days or less, their enrollments are terminated effective on the day they are separated to enter military service. The employee and covered family members are entitled to a 31 day temporary extension of coverage during which they may convert to nongroup contracts.

.32 Return from Military Service

.321 Return not in Exercise of Reemployment Rights. An employee who returns from military duty but not in the exercise of reemployment rights, if eligible for coverage, registers within 31 days after returning to the Postal Service, the same as a new employee. The employee may register to enroll for self-only or for self and family in either option of any plan available.

.322 Return in Exercise of Reemployment Rights. The enrollment of an employee who exercises reemployment rights on return from military duty is reinstated on SF 2810, effective on the day the employee returns to duty in the Postal Service. The reinstating SF 2810 shows in Remarks that a previously terminated enrollment is being reinstated because of the employee's return from military service.

a. An employee who returns to civilian duty in the exercise of reemployment rights may change the reinstated enrollment from self-only to self and family, and to either option of any plan available, within 31 days after returning to civilian service.

b. Also, if the employee was not enrolled upon entering military duty, the employee may enroll within 31 days after returning to civilian service. The registration becomes effective on the first day of the pay period which begins after the completed SF 2809 is received in the employing office and which follows a pay period during any part of which the employee was in pay status.

.33 Death During Military Service. If an employee whose self and family enrollment was terminated (or suspended in accordance with previous instructions) upon entry into military service, for a period not limited to 30 days or less, dies and leaves a family member entitled to annuity, the family member may have the enrollment reinstated effective on the day survivor annuity begins. The survivor also may change the enrollment the same as though the employee were returning to civilian duty in the exercise of reemployment rights.

.34 Loss of Coverage Under the Uniformed Services Health Benefits Program. An employee who is covered as a spouse or child under the Uniformed Services Health Benefits Program for dependents of military personnel may enroll within 31 days after termination of this coverage. If coverage terminates because of death, the surviving employee has 60 days in which to enroll.

.35 Continuous Enrollment. For purposes of eligibility to continue enrollment after retirement, an employee whose enrollment was terminated for military service is not considered to have had an interruption in enrollment if it is reinstated when the employee returns to civilian duty, or reenrolls within 31 days after returning to civilian duty.

525.4 Coverage Into Retirement

.41 Procedures to Be Followed By Employing Office

.411 At retirement, the employing office tentatively determines an employee's eligibility for continued enrollment. However, the CSC makes the final determination of the retiring employee's eligibility to continue enrollment.

.412 When employees retire under conditions which entitle them to continued enrollment as described in 525.42, the enrollment is transferred to the Civil Service Retirement System, Washington, DC 20415, on SF 2810, *Notice of Change in Enrollment Status*, and automatically continued.

.413 All SF 2809s in the employee's official personnel folder are to be sent to the appropriate PDC with the completed SF 2810 and any related medical certificates for submission to the CSC.

.42 Employee Requirements for Continuation

An employee must meet the following requirements to continue enrollment into retirement:

a. The employee (1) retires under the disability provisions or (2) has at least 5 years of creditable service. Creditable service for health benefits purposes is that service allowable under the Civil Service Retirement Act. Service may include periods for which refunds of retirement deductions have been made. It also may include periods of military service but must include at least 5 years of creditable civilian service. In addition, in determining creditable service for health benefits purposes, credit is allowable for military service even though the employee receives military retired pay.

b. The employee retires on an immediate annuity (i.e., an annuity which begins to accrue no later than 1 month after the date of final separation).

c. The employee has been enrolled (or covered as a family member) in a plan under the health benefits program:

(*1*) During the 5 years of service immediately preceding retirement.

(*2*) Since the first opportunity to enroll.

(*3*) Continuously for the full period or periods beginning with the enrollment which became effective no later than December 31, 1964, provided the annuity is sufficient to cover the required employee withholdings. Service means service in which the employee was eligible to be enrolled. The employee is not required to have been an enrollee continuously, but continuously covered by an enrollment.

> *Example:* An enrollee was for a time covered as a family member under enrollment of another, or was for a time covered as a dependent under the Uniformed Services Health Benefits Program. Similarly, an employee who belatedly enrolled within 31 days after the employing office determined the employee was unable to timely enroll for reasons beyond control, may be considered as having been enrolled since the first opportunity.

.43 Benefits and Cost

If the enrollment continues, the annuitant is entitled to the same benefits as active employees enrolled in the same plan. The government contribution for Postal Service annuitants is the same as for annuitants of other government agencies covered by this program. The annuitant's share of the enrollment cost is deducted from annuity payments.

.44 Employee Separates and Subsequently Retires

.441 If an enrolled employee who is eligible to retire on an immediate annuity is separated and has not filed an application for retirement with the employing office by the time an SF 2810 is to be prepared, the employing office terminates the enrollment.

.442 Enrollment is terminated when an employee is separated while application for retirement, such as for disability, is pending in the CSC.

.443 Employees whose enrollments are terminated are encouraged to convert to an individual contract even though they intend to apply for retirement later or have an application for disability retirement pending. If the retirement application is later approved, the enrollment is reinstated by the CSC retroactive to the beginning date of annuity, provided they meet all requirements to continue the enrollment and the carrier of the plan refunds the premium paid for the converted policy based on a written request. An adjustment is made for any benefits received or paid while employees are covered under the conversion contract.

.45 Reemployed Annuitant

.451 Enrolled

a. If an annuitant who already is enrolled under this program is reemployed under conditions which terminate title to annuity, the employing office determines eligibility for continued enrollment during the reemployment under the same criteria that apply to any other employee who transfers enrollment from another payroll office, and accepts transfer of and continues, or terminates the enrollment, as appropriate.

b. On separation from the reemployment service, the same procedures that apply to other employees being separated or retired are followed, and the enrollment is transferred to the Civil Service Retirement System or terminated, as appropriate.

c. If an annuitant who is already enrolled under this program is reemployed under conditions which do not terminate title to annuity, the enrollment as an annuitant continues and is not affected by reemployment.

.452 Non-Enrolled. Annuitants who are not enrolled and are reemployed under conditions which permit coverage register the same as other new employees. If the annuitants register to enroll, they are eligible to continue enrollment on separation from reemployment if they meet all the requirements (including that of retiring on an immediate annuity) that other retiring employees meet. The immediate annuity requirement is met if annuitants receive a supplemental annuity when separated from the reemployment.

.453 Reemployed Without Break in Service. The health benefits enrollment of an employee who retires but is immediately reemployed is transferred to the Civil Service Retirement System, even if there is no break between separation and the new appointment. The Commission thereafter is the employing office for health benefits purposes.

.454 Open Season Opportunities for Reemployed Annuitant. A reemployed annuitant who is not enrolled for health benefits may enroll during an open season, the same as any eligible employee. A reemployed annuitant who is enrolled may, in an open season, change enrollment regardless of the type of appointment under which serving. A reemployed annuitant making a change during open season submits SF-2809 to the Commission with a letter stating where (s)he is employed.

525.5 Death of An Employee

.51 Transfer of Enrollment to Eligible Survivor

.511 Requirements. The enrollment of an employee who dies in service is automatically transferred to eligible survivors provided:

a. The deceased employee was enrolled for self and family at the time of death.

b. At least 1 family member is entitled to an annuity as survivor of the deceased employee. Coverage for all eligible family members continues as long as any of them receives a survivor annuity. If a survivor annuitant is the sole survivor, the Civil Service retirement system automatically changes the enrollment to self-only.

c. The annuity of the survivor, or of all eligible survivors, is sufficient to pay withholdings required for the plan.

.512 Benefits and Cost. If the enrollment continues, the eligible survivors are entitled to the same benefits offered by the plan as active employees enrolled in the same plan. The survivor annuitants' share of the enrollment cost is deducted from their annuity payments.

.52 Enrollment Eligibility Both as an Employee and as a Survivor Annuitant

.521 An eligible employee who has been covered under the family enrollment of a spouse and who, due to the spouse's death, is eligible to continue the enrollment as a survivor annuitant, may cancel the enrollment as an annuitant and enroll as an employee on the basis of a change in marital status (e.g., death of spouse). However, if the surviving spouse enrolls as an employee on this basis, and later is separated under conditions not entitling the surviving spouse to continue enrollment, the enrollment is terminated by the employing office. In this event, if still a survivor annuitant, the surviving spouse may apply to the Civil Service Commission for reinstatement of the employee acquired enrollment and request that health benefits deductions be made from the annuity.

.522 If the reinstatement application is received by the Civil Service retirement system:

a. Within 60 days after separation from employment, the enrollment is reinstated retroactive to the day after it was terminated by the employing office.

b. More than 60 days after the separation, the enrollment is reinstated effective on the first day of the month after the month in which the application is received.

525.6 Transfer to or from Overseas Post of Duty

An employee who is transferred from a post of duty within the United States (including the District of Columbia) to a post of duty outside the United States or the reverse, may enroll or change enrollment. Change of enrollment may be from self-only to self and family or from one plan or option to another, or both, within the period beginning 31 days before leaving the old post of duty and ending 31 days after arriving at the new post of duty.

525.7 Move Outside Service Area of a Comprehensive Plan

An employee enrolled in a comprehensive plan (group or individual-practice prepayment plan) who moves outside the service area of that plan, may change to any other plan available in the area to which moving and may change options from self-only to self and family. An employee already living outside the service area of the plan who moves farther from the nearest office of the plan in which enrolled, may similarly change enrollment. Such a change may be made at any time after the move.

525.8 Employment Transfer

.81 Within Postal Service or to Another Federal Agency

.811 With the exception noted in 525.7, the enrollment of an employee who moves from one postal installation to another within the USPS or to an employing office in a federal agency, whether the personnel action is designated as a transfer or not, continues without interruption provided there is not a break in service of more than 3 days.

.812 An employee enrolled in an employee organization plan who transfers to another agency, continues to be enrolled in the plan until either a regular opportunity to change plans (as during an open season) occurs or until the enrollment is terminated at the plan's request because the employee no longer is a member of the organization.

.82 Outside Comprehensive Area

If an employee who is enrolled in a comprehensive plan transfers outside the area serviced by the plan, the provisions in 525.7 apply.

.83 To Congressional Office

If an enrolled employee leaves the USPS and is employed by the Senate or House of Representatives without a break in service of more than 3 days, the health benefits enrollment is transferred as usual.

.84 From Congressional Office

However, if an enrolled employee of the Senate or House is employed in the USPS without a break in service of more than 3 days, the enrollment is terminated at the end of the month in which the separation from the Senate or House occurs. The Postal Service verifies entitlement to continued benefits and reinstates the enrollment on the first day of the following month.

526 Self-Support Determinations

526.1 Physical and Mental Incapacity Requirement

.11 Incapable of Self-Support

An employee's self and family enrollment includes unmarried children over age 22 who are incapable of self-support because of physical or mental incapacity which existed before they reached age 22. A child over 22 years of age is classified as incapable of self-support only if (a) the incapacity can be expected to continue for at least 1 year (b) and the child is not capable, because of the disability, to work at any job.

.12 Capable of Self-Support

.121 A disability such as total blindness or deafness is not in itself qualifying, although it may preclude employment in certain occupations, it would not preclude employment in all occupations or necessarily make a person incapable of self-support.

.122 The onset of a disease before age 22 which does not result in incapacity for self-support until after age 22 does not bring a child within the definition of member-of-family.

526.2 Financial Dependency Not a Factor

A determination of incapacity for self-support is based entirely on medical considerations. Thus, the fact that a child is not self-supporting due to attending school is not a factor. Conversely, the fact that a child may have investment or other income is not a factor because financial dependency is not a requirement.

526.3 Determination of Dependency

.31 Authority

A USPS medical officer has authority to determine whether or not a child over age 22 is incapable of self-support because of mental or physical incapacity. The determination is based upon a medical certificate obtained by the employee at the employee's own expense. The medical certificate is submitted to the Postal Service medical officer for a determination. All medical evidence is retained by the medical officer.

.32 Medical Certificate

.321 Submission

a. The medical certificate on which the medical officer makes the determination includes:

(*1*) Name of child.
(*2*) Nature of disability.
(*3*) Period of time disability has existed.
(*4*) Probable future course and duration of disability.
(*5*) Doctor's name and address.

b. Medical certificate may be submitted to the medical officer at the time of initial enrollment or later. A medical certificate for a child who has been covered in a self and family enrollment is submitted at least 30 days before the child attains age 22.

.322 Time Limitation. The medical certificate for each individual case may be approved for a limited period of time, e.g. 1 year, or it may be approved without time limitation. The health benefits plan is advised of the duration of the approval, either in Remarks on SF 2809 or in the letter to the health benefits plan.

.323 Renewal. If the medical certificate for a child is approved for a limited period of time, the employing office prepares a follow-up notice and reminds the employee, at least 30 days in advance of the date the certificate expires, to submit either a new certificate to the medical officer or a statement that the certificate will not be renewed. If it is renewed, the health benefits plan is notified of the new expiration date by letter in the same manner.

.324 Failure to Renew. If the employee does not renew a certificate for an incapacitated child over age 22, the child's status as a family member automatically stops. The child is no longer covered, and the employee is so notified.

.325 Late. If an employee submits a medical certificate for a child after a previous certificate has expired, or after the child reaches age 22, the medical officer determines whether or not the incapacity existed before the child reached age 22. If it did, and the employee continuously had a self and family enrollment, the child is considered to have been family member and to have been covered continuously since age 22.

526.4 Medical Determinations

The employing office obtains the medical determination of the nearest postal medical officer. This medical determination, as provided to the employing office, includes the length of approval of the incapacity (1 year, 2 years, permanent, etc.) The employing office then notifies the health benefits plan of the medical officer's determination.

526.5 Procedures for Notifying the Health Benefits Plan

.51 Employing Office

.511 Existing Enrollment. If it is determined that a child is incapable of self-support, the employing office notifies the health benefits plan (through the PDC) by letter, preferably shortly before the child reaches age 22. The letter identifies the employee by name and by control number. The letter also states the name and the date of birth of the incapacitated child, as well as the length of approval of the incapacity.

.512 New Enrollment. For a new enrollment, medical officer's determination of incapacity is entered in Remarks on SF 2809.

.52 Postal Data Centers

The PDC submits the notice to the health benefits plan with SF 2811, *Transmittal and Summary Report.*

527 Privacy Act Considerations

527.1 Disclosure. Since health benefits records contain information about individuals, they are handled and disclosed only in accordance with the Privacy Act and implementing instructions.

527.2 Maintenance. An employee's health benefits records and related correspondence are maintained within the Postal Service in one of two ways:

a. In the personnel area as part of the privacy system entitled USPS 120.070, Personnel Records—General Personnel Folders (Official Personnel Folders and records related thereto).

b. In the PDC as part of the privacy system entitled USPS 050.020, *Finance Records—Payroll System.*

527.3 Privacy Act Requests

.31 Employees. Employees making formal privacy requests specifically for access to or update of health benefits records direct their requests to the head of the employing installation.

.32 Former Employees. Former employees direct their requests to the nearest Postal Service Personnel Office.

.33 Retired Employees. Retired employees' records are sent to the CSC. Retired employees direct their requests to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415.

528 Employee Appeals

528.1 Appeal of Refusal to Allow Enrollment or Change of Enrollment

.11 Employees or annuitants may appeal refusal of an employing office to permit them to register to enroll or to change enrollment. The appeal is made in writing and sent within 30 days of the refusal, to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415.

.12 Employees may appeal an adverse decision from the Bureau of Retirement, Insurance and Occupational Health, within 90 days of that decision, to the Appeals Review, U. S. Civil Service Commission, Washington, DC 20415.

528.2 Appeal of Claim Denial

.21 Initial Appeal Rights

.211 Request For Reconsideration. The appropriate health plan adjudicates claims for payment or service. If a claim (or portion of a claim) or a service is initially denied by a health benefits plan, the plan reconsiders its denial upon receipt of written request for reconsideration from the employee within 1 year of the denial. The written request gives the reasons why the employee or annuitant believes the denied claim or service should have been paid or provided.

.212 Health Plan Responsibility

a. The plan affirms the denial in writing to the employee setting out in detail the reasons, within 30 days after receipt of the request for reconsideration, or pay or provide the claim or service within such time, unless it requests additional information reasonably necessary for a determination.

b. Requests for additional information by the plan specifically identifies the additional information required and the reason it is needed. If the information requested is not supplied within 60 days of the request, the plan makes its determination and notifies the employee.

c. When the plan affirms a denial after reconsideration, it provides written notice to the employee or annuitant of the right to request a review of this determination by the CSC.

.22 Request for Civil Service Commission Review

.221 Cause for Request to Review. If a plan either affirms its denial of a claim or if it fails to respond to a written request for reconsideration within 30 days of the request, the employee or annuitant may submit written request to the Commission's Bureau of Retirement, Insurance, and Occupational Health for a review to determine whether the plan's denial is in accord with the terms of the Commission's contract with the health benefits plan.

.222 Time Limit. A request for review is not honored if received by the Commission more than 90 days from the date of the plan's affirmation of the denial.

.223 Authorization for Release of Medical Information. Nor is a request for review honored if, upon request by the Bureau, the employee does not furnish authorization signed by the patient (or person capable of acting for the patient) for the release of medical evidence to the Bureau.

.224 Civil Service Commission Responsibility

a. In reviewing a claim denied by a plan, the Bureau reviews copies of all original evidence and findings upon which the plan denied the claim and any additional evidence submitted to the Bureau or otherwise obtained by the plan or Bureau. Plans release such evidence and findings to the Bureau within 30 days of request. Any evidence obtained by the Bureau in connection with a review of the denied claim is held privileged and confidential and is reviewed only by persons having official need to see it.

b. In reviewing a claim denied by a plan, the Bureau may request the employee or annuitant to obtain and submit additional medical or hospital records. The Bureau may also request a confidential advisory opinion from an independent physician, or such other information or evidence as may in the Bureau's judgment, be required to evaluate the claim denial. A Bureau request for an advisory opinion does not disclose the identity of the claimant or patient, the plan, or any medical institutions or physicians involved in the claim.

c. Within 30 days after all evidence requested by the Bureau has been received, it notifies the employee and the plan of its findings on the review.

529 Forms and Brochures

529.1 Forms

.11 SF 2809, Health Benefits Registration. SF 2809 is completed and signed by an eligible employee electing to enroll or not to enroll in a plan, or to change or cancel enrollment.

.12 SF 2810, Notice of Change in Health Benefits. SF 2810 is completed by the employing office to: (a) terminate enrollment; (b) transfer enrollment out to another agency or to Civil Service system or accept transfer in; (c) reinstate enrollment; or (d) notify carrier of change in name of enrollee. This form also serves as the employee's official notice of temporary extension of coverage and the right to convert to a nongroup contract.

529.2 Brochures

.21 Description

Each plan has a brochure which fully describes benefits, maximums, limitations, exclusions, and other important features of the respective plan. Brochures are available from the local Personnel Office.

.22 For Bargaining Employees. A new employee who is eligible for enrollment in the health benefits program is given a copy of any health benefits plan brochure(s) as provided for in any applicable collective bargaining agreement.

.23 For All Employees. In addition to the requirements in 529.31 each eligible employee is given the following before or as soon as possible after becoming eligible:

a. SF 2809-A, *The Federal Health Benefits Program.*

b. Brochures of both government-wide plans.

c. Brochures of all comprehensive plans serving the area in which the employee is located.

d. SF 2809, *Health Benefits Registration Form.*

e. BRI 41-210, *Information to Consider in Choosing a Health Plan.*

f. BRI 41-212 (P.S.) *Federal Employees Biweekly Health Benefits Rates* (USPS).

.24 Other Plans. Brochures on other plans sponsored by employee organizations are given or made available to eligible employees upon request.

529.3 Requisitioning Forms and Brochures

.31 Government and Employee Organizations Plans. Health Benefits forms and brochures (except comprehensive plan brochures) are requisitioned from area supply centers on Form 7380, *Requisition for Supplies,* during regular requisitioning periods. If additional forms and brochures are needed between regular requisitioning periods, submit Form 7380 for the emergency supply needed and endorse the requisition to indicate the emergency.

.32 Comprehensive Plans. Each postal installation located in areas served by comprehensive plans requests sufficient supply of the plan's brochures directly from the appropriate plan(s). A list of comprehensive plans (alphabetically by state) with the name, address, and phone number of the person to contact for requesting brochures is published annually in the Postal Bulletin, and is also available from the local Personnel Office.

Name of plan	Brochure No.	Enrollment code No.	Request for brochures
Arizona			
ABC-HMO	BRI 41-233	161 162	Mr. Robert Mack, vice president, ABC-HMO, 4747 North 22d St., suite 100, Phoenix, AZ 85016, phone (602) 957-9200.
Arizona Health Plan.	BRI 41-228	721 722	Mr. Charles E. Page, marketing director, Arizona Health Plan, P.O. Box 5000, Phoenix, AZ 85010, phone (602) 257-8800.
PimaCare	BRI 41-249	231 232	Mrs. Sandra Bravo, HMO administrator, PimaCare, 2545 East Adams, Tucson, AZ 85716, phone (602) 795-3424.
California			
American Association of Foundations for Medical Care.	BRI 41-29	861 862	Mrs. Bettie Martin, AAFMC, P.O. Box 230, Stockton, CA 95201, phone (209) 948-4550.
Family Health Program.	BRI 41-187	661 662	Ms. Ledlie Allen, enrollment director, Family Health Program, 2925 North Palo Verde Ave., Long Beach, CA 90815, phone (213) 429-2473.
General Medical Centers Health Plan.	BRI 41-270	C71 C72	Ms. Linda R. Ren, administrative assistant, General Medical Centers Health Plan, 300 South Park Ave., suite 500, Pomona, CA 91766, phone (714) 623-0641.
Health Alliance Health Plan.	BRI 41-264	CA1 CA2	Ms. Glenna L Hammond, manager, membership services, Health Alliance Health Plan, P.O. Box 28390, San Jose, CA 95159, phone (408) 249-7960.
Kaiser Foundation Health Plan, north California region.	BRI 41-31	591 592	Ms. Susan Merritt, Kaiser Foundation Health Plan, Inc., P.O. Box 12916, Oakland, CA 94604, Phone (415) 645-6291.
Kaiser Foundation Health Plan, southern California region.	BRI 41-28	621 622	Mr. Don Sherwood, Kaiser Foundation Health Plan, Inc., Southern California region, 1515 North Vermont Ave., room 605, Los Angeles, CA 90027, phone (213) 667-8894.
Maxi-Care Plan	BRI 41-262	CM1 CM2	Mr. David Hallis, Maxi-Care, 4455 West 117th St., Hawthorne, CA 90250, phone (213) 973-5400.
Ross-Loos Medical Group.	BRI 41-54	611 612	Mr. Kerry Goree, account representative, health plans administration, Ross-Loos Medical Group, 1711 West Temple St., Los Angeles, CA 90026, phone (213) 413-1313 X574.
Colorado			
ChoiceCare	BRI 41-256	251 252	Mr. Robert M. Dennis, marketing director ChoiceCare Health Service, Inc., 1225 Riverside, Fort Collins, CO 80521, phone (303) 484-5250.
Comprecare Health Plan.	BRI 41-269	D61 D62	Ms. Carol Witt, supervisor, enrollment services, Comprecare, Inc., P.O. Box 22047, 2040 South Oneida St., Denver, CO 80222, phone (303) 753-1900.
Kaiser Foundation Health Plan of Colorado.	BRI 41-188	651 652	Mrs. Anne K. Long, Kaiser Foundation Health Plan of Colorado, 2005 Franklin St., Denver, CO 80205, phone (303) 861-3283.
Rocky Mountain Health Maintenance Organization.	BRI 41-232	881 882	Mr. Robert J. Dubas, marketing director, Rocky Mountain HMO, 2231 North 7th St., Grand Junction, CO 81501, phone (303) 243-7050.
Connecticut			
Community Health Care Center Plan, Inc.	BRI 41-211	711 712	Mr. Dennis G. Shultz, Community Health Care Center Plan, Inc., 150 Sargent Dr., New Haven, CT 06511, phone (203) 787-3141 X262.
District of Columbia			
George Washington University Health Plan.	BRI 41-266	E51 E52	Mr. Brian Moore, director of enrollment George Washington University Health Plan, 1229 25th St. NW., Washington, D.C. 20037, phone (202) 676-4221.
Georgetown University Community Health Plan.	BRI 41-267	E31 E32	Ms. Gini Gustafson, associate director of marketing, Georgetown University Community Health Plan, Inc., 4200 Wisconsin Ave. NW., Washington, D.C. 20016, phone (202) 625-2700.
Group Health Association.	BRI 41-41	501 502 504 506	Ms. Mary Hines, enrollment and member services department, Group Health Association, Inc., 2021 L St. NW., 7th floor, Washington, D.C. 20036, phone (202) 872-7520.
Hawaii			
Hawaii Medical Service Association.	BRI 41-44	871 872	Mr. William Snittjer, Hawaii Medical Service Association, Field service and enrollment, P.O. Box 860; Honolulu, HI 96808, phone (808) 944-2280.
Kaiser Foundation Health Plan, Hawaii region.	BRI 41-84	631 632	Mr. Edward Kobayashi, Kaiser Foundation Health Plan, Inc., Hawaii region, 1697 Ala Moana Blvd., Honolulu, HI 96815, phone (808) 521-0802.
Idaho			
Medical Service Bureau of Idaho, Inc.	BRI 41-47	811 812	Mr. John H. Beck, director of finance, Medical Service Bureau of Idaho, Inc., P.O. Box 1106, Lewiston, ID 83501, phone (208) 746-2671 X32.
Illinois			
ANCHOR Organization for Health Maintenance.	BRI 41-234	171 172	Mrs. Candice Yeager, director of marketing, ANCHOR Organization for Health Maintenance, 1725 West Harrison, Chicago, IL 60612, phone (312) 942-6976.
Intergroup Prepaid Health Services, Inc.	BRI 41-282	FV1 FV2	Mr. Jerome McNamara, Intergroup Prepaid Health Services, Inc., CNA Plaza—29 S, Chicago, IL 60685, phone (312) 822-4955.
Michael Reese Health Plan.	BRI 41-226	751 752	Ms. Lucy San Diego, Michael Reese Health Plan, Inc., 3055 South Cottage Grove Ave., Chicago, IL 60616, phone (312) 791-2997.
NorthCare	BRI 41-265	G41 G42	Ms. Helen Moag, marketing services coordinator, NorthCare, 1718 Sherman Ave., Evanston, IL 60201, phone (312) 864-1900.
Union Health Service.	BRI 41-227	761 762	Mr. Brendan J. Stewart, executive director, Union Health Service, Inc., 1634 West Polk St., Chicago, IL 60612, phone (312) 829-4224.
Indiana			
Metro-Health Plan	BRI 41-263	GK1 GK2	Mr. Mike Patrick, Metro-Health Plan, 3000 Meadows Parkway, suite 100, Indianapolis, IN 46205, phone (317) 545-6661.
Kentucky			
HealthCare of Louisville.	BRI 41-244	181 182	Ms. Susan Charles, marketing director, Health Care of Louisville, Inc., 1330 South 3d St., Louisville, KY 40208, phone (502) 635-2681.
Hunter Foundation for Health Care.	BRI 41-250	191 192	Darlene B. Rauh, marketing director, Hunter Foundation for Health Care, 271 West Short St., Lexington, KY 40507, phone (606) 253-1061.
Maryland			
Columbia Medical Plan.	BRI 41-180	671 672	Mr. Leo W. Iskra, marketing director, Columbia Medical Plan, 5999 Harpers Farm Rd., Columbia, MD 21044, phone (301) 997-8500.
Massachusetts			
Harvard Community Health Plan.	BRI 41-196	681 682	Mr. Ned Wight, communications/membership, Harvard Community Health Plan, 80 Brighton Ave., Allston, MA 02134, phone (617) 787-7820.
Michigan			
Metro Health Plan	BRI 41-113	521 522	Ms. Andra Stallworth, account executive, alternative delivery systems, marketing department, Blue Cross and Blue Shield of Michigan, 600 Lafayette East, Detroit, MI 48226, phone (313) 225-7822.
Minnesota			
Group Health Association of Northeastern Minnesota.	BRI 41-238	131 132	Mr. Rhinehart M. Olson, acting executive director, Group Health Association of Northeastern Minnesota, 307 1st St. North, Virginia, MN 55792, phone (218) 749-5890.
Group Health Plan—St. Paul.	BRI 41-43	531 532	Mr. James Erlandson, director of enrollment, Group Health Plan, Inc., 2500 Como Ave., St. Paul, MN 55108, phone (612) 646-9401.
SHARE	BRI 41-205	111 112	Mr. Robert Vaupell, vice president, marketing, SHARE, 1515 Charles Ave., St. Paul, MN 55104, phone (612) 645-0171.
Missouri			
Medical Care Group of Washington University.	BRI 41-239	121 122	Mr. John Boulais, director, marketing, Medical Care Group of Washington University, 4570 Audubon Ave., St. Louis, MO 63110, phone (314) 534-8220 X263.

Exhibit 529.32 (p.1)—Comprehensive Plans Presently Participating

Name of plan	Brochure No.	Enrollment code No.	Request for brochures
Missouri—Continued			
Prime Health	BRI 41-274	MS1 MS2	Mr. Jeffre L. Hembree, Prime Health, 373 West 101st Terrace, Kansas City, MO 64114, phone (816) 942-8200.
New Jersey			
Central Essex Health Plan.	BRI 41-281	P51 P52	Mr. David J. Kozma, marketing representative, Central Essex Health Plan, 280 Henry St., Orange, NJ 07050, phone (201) 675-4700.
Group Health Plan of New Jersey, Inc.	BRI 41-279	P71 P72	Mr. George DePalma, acting marketing director, Group Health Plan of New Jersey, Inc., 501 70th St., Guttenberg, NJ 07093, phone (201) 854-1090.
Rutgers Community Health Plan.	BRI 41-280	PA1 PA2	Mr. Leo M. Carey, membership director, Rutgers Community Health Plan, 57 U.S. Highway No. 1, New Brunswick, NJ 08901, phone (201) 249-5700.
New Mexico			
Mastercare Plan	BRI 41-237	781 782	Ms. Donna Scalf, New Mexico Health Care Corp. (Mastercare), 2350 Alamo SE., Albuquerque, NM 87106, phone (505) 247-1576).
New York			
Capital Area Community Health Plan.	BRI 41-273	PW1 PW2	Mr. John Baackes, assistant administrator, Capital Area Community Health Plan, 1201 Troy-Schenectady Rd., Latham, NY 12110, phone (518) 783-3110.
Community Health Program Queens-Nassau.	BRI 41-240	151 152	Mr. James McCobb, director of CHP marketing Blue Cross-Blue Shield of Greater New York, 475 Park Ave. South, New York, NY 10016, phone (212) 481-2880.
Genesee Valley Group Health Association.	BRI 41-246	211 212	Ms. Lynn Hanrahan, marketing manager, GVGHA, 41 Chestnut St., Rochester, NY 14647, phone (716) 454-1700.
GHI New York-New Jersey.	BRI 41-40	801 802	Ms. Norma Fletcher, Group Health Inc., 326 West 42d St., New York, NY 10036, phone (212) 760-6572.
Health Insurance Plan (H.I.P.).	BRI 41-27	511 512	Mr. Joseph Salerno, director of contractor service, Health Insurance Plan of Greater New York, 625 Madison, Ave., New York, NY 10022, phone (212) 754-1144 X235.
Westchester Community Health Plan.	BRI 41-276	QH1 QH2	Ms. Elinore Standard, Westchester Community Health Plan, 145 Westchester Ave., White Plains, NY 10601, phone (914) 682-0700.
Ohio			
Health Maintenance Plan/Cincinnati.	BRI 41-236	141 142	Mr. Gary Duzan No. 60, HMP marketing coordinator, Health Maintenance Plan, 1351 William Howard Taft Rd., Cincinnati, OH 45206, phone (513) 872-8131 X396.
Kaiser Community Health Foundation Plan.	BRI 41-175	641 642	Ms. Gloria M. Dial, coordinator, enrollment services, Kaiser Community Health Foundation, P.O. Box 5508, Cleveland, OH 44101, phone (216) 621-5600 X275.
Marion Health Maintenance Organization.	BRI 41-277	RF1 RF2	Mr. James R. Hertel, director of marketing, Marion Health Foundation, Inc., 125 Executive Dr., suite 200, Marion, OH 43302, phone (614) 387-6355.
Oregon			
Kaiser Foundation Health Plan of Oregon.	BRI 41-33	571 572	Mr. Arthur A. Amato, Kaiser Foundation Health Plan, 1500 SW. 1st Ave., Portland, OR 97201, phone (503) 224-3400 X376.
National Hospital Association Plan.	BRI 41-53	841 842	Miss Ileen Haws, professional relations representative, National Hospital Association, Farwest Assurance Building, 812 SW. Washington St., Portland, OR 97205, phone (503) 224-7744.
Oregon—Continued			
Portland Metro Health Plan.	BRI 41-278	SA1 SA2	Mr. Jerry Wilks, director of marketing, Portland Metro Health Plan, 5201 SW. Westgate Dr., suite 111, Portland, OR 97221, phone (503) 292-9261.
Pennsylvania			
Central Medical Health Services, Inc.	BRI 41-255	241 242	Mr. Christopher Stromee, director, prepaid health plan Central Medical Health Services, Inc., 1200 Centre Ave., Pittsburgh, PA 15219, phone (412) 562-3005.
Health Maintenance Organization of Pennsylvania.	BRI 41-272	SV1 SV2	Ms. Anita CaFagna, member relations representative, Health Maintenance Organization of Pennsylvania, 2500 Maryland Rd., Willow Grove, PA 19090, phone (215) 659-7300.
Health Service Plan of Pennsylvania.	BRI 41-254	491 492	Mr. Harold Thalheimer, director of marketing, Health Service Plan of Pennsylvania, 1505 Race St., Philadelphia, PA 19102, phone (215) 988-1666.
Penn Group Health Plan.	BRI 41-252	261 262	Mr. Elwood Kleaver, director, government programs, Penn Group Health Plan, Inc., 5 Gateway Center, 6th floor, Pittsburgh, PA 15222, phone (414) 391-4980.
Philadelphia Health Plan.	BRI 41-253	271 272	Mr. James J. Levy, director of marketing and enrollment, Philadelphia Health Plan, 1015 Chestnut St., 2d floor, Philadelphia, PA 19107, phone (215) 574-8107.
Rhode Island			
RIGHA Health Plan.	BRI 41-209	701 702	Mr. William Doyle, RIGHA, 210 High Service Ave., North Providence, RI 02904, phone (401) 331-3000.
Texas			
Prucare Health Plan.	BRI 41-268	UP1 UP2	Mr. Paul Jarobe, associate marketing manager, Prucare Health Plan, P.O. Box 2884, Houston, TX 77001, phone (713) 663-5108.
Washington			
Group Health Cooperative Plan—Puget Sound.	BRI 41-52	541 542	Ms. Joyce Larsen, Group Health Cooperative Plan—Puget Sound, room 261, PCF 2, 310 15th Ave. East, Seattle WA 98112, phone (206) 326-7259.
Kitsap Physicians Service.	BRI 41-271	VT1 VT2	Ms. Judy Murphy, contract coordinator, c/o Kitsap Physicians Service, 400 Warren Ave., Bremerton, WA 93310, phone (206) 377-5576.
Sound Health Association.	BRI 41-248	221 222	Mr. Lloyd G. Whiten, marketing department, Sound Health Association, 622 Tacoma Ave. South, Tacoma, WA 98402, phone (206) 572-4801.
Washington Physicians Service.	BRI 41-36	831 832	Ms. Darlene Flynor, Washington Physicians Service, 4th & Battery Boulevard, 6th floor, 2401 4th Ave., Seattle, WA 98121, phone (206) 682-9370.
Wisconsin			
Compcare Health Plan.	BRI 41-204	691 692	Mr. Jerry Kern, Blue Cross of Wisconsin, marketing division, 401 West Michigan St., Milwaukee, WI 53201, phone (414) 226-5424.
Guam			
Health Maintenance Life Insurance Co.	BRI 41-247	281 282	Mr. Cliff Wilson, regional director, Health Maintenance Life Insurance Co., GITC Building, Tamuning, GU 96910, phone 546-7826/7.
Puerto Rico			
SSS Plan (Puerto Rico).	BRI 41-114	891 892	Mr. Eusebio Melandez, Seguros de Servicio de Salud de Puerto Rico. Inc., Correo General Apartado 36228, San Juan, PR 00936, phone (809) 765-0363.

Exhibit 529.32 (p.2)—Comprehensive Plans Presently Participating

530 Life Insurance Program

531 Administration and Eligibility

531.1 General. The Life Insurance Program, including regular and optional coverage, is administered by the Civil Service Commission (CSC). Policies and regulations of the CSC, including employee eligibility and benefits, are controlling.

531.2 Eligible Employees. All postal employees, except those specifically excluded in 531.3, or those who waive coverage, receive regular group life insurance coverage and are generally eligible for the $10,000 optional life insurance coverage.

531.3 Exclusions

Excluded Individuals	**Exceptions**
Substitute Rural Carriers	May retain coverage acquired in former position to which they are expected to return on a full time basis provided: (a) There is no break in service or (b) The break in service is for 3 days or less.
Casual Employees or Temporary Employees (including "off the street" Officers-in-Charge) appointed for a definite period of 1 year or less. When individuals are hired as casual or temporary employees and have previously served in positions in the USPS or a federal agency where they were covered by the Life Insurance Program, there must be a break of at least 4 days between such service and the casual or temporary appointment	None.
Non-citizen employees with permanent duty stations outside either the United States or the Panama Canal Zone	American Nationals employed at postal installations in American Samoa, Micronesia, and Guam.
Employees who are Members of the Uniformed Services as defined in Section 102 of the Servicemen's and Veteran's Survivor Benefits Act	None.
Individuals employed for brief periods at intervals and expected to work less than 6 months in each year	Are eligible for coverage if they are student trainees serving under a formal work study program, *provided* the program requires that they are in pay status for at least ⅓ of the total period of time required to complete the program.
Employees with annual base pay of $12.00 or less	None.
Job Cleaners	None.
Special Delivery Messengers at Post Offices in CAG H and J	None.
Clerks-in-Charge of Rural Stations	None.
Mail Messengers	None.
Star Route Carriers	None.
Clerks or leave replacements at post offices in CAG L	None.
Individuals paid on contract or fee basis	Contract executives or certain other contract employees are covered, *provided:* a. The contract requires personal services and covers a period greater than 1 year. b. Individuals are under the supervision and direction of the USPS. c. Work is performed on a full-time or specified part-time basis.
Employees paid on a piecework basis	May acquire coverage if their work schedule provides for full-time service or part-time service with a regular tour of duty.

532 Coverage

532.1 Based on Pay

.11 Full-Time Employees. Full-time employees are covered by an amount of regular insurance (and an equivalent amount of accidental death and dismemberment insurance) based on their annual base pay in effect at the end of any given pay period. The insurance of an employee who dies while serving in a higher level position is based on the base pay of the higher level position. (Base pay for insurance purposes excludes such additional pay as cost-of-living adjustments (COLA), overtime pay, holiday pay, etc.)

.12 Part-Time Employees. Employees who are paid at other than an annual rate are covered by an amount of regular insurance (and an equivalent amount of accidental death and dismemberment insurance) based on an annual rate determined as follows:

a. Part-Time Regular. The annual base pay of part-time regular schedule employees is computed by multiplying the basic hourly rate of pay for their levels and steps (excluding COLA) by the number of scheduled hours of service in a 52 week work year.

b. Part-Time Flexible. The annual base pay of part-time flexible schedule employees is computed by multiplying the basic hourly rate of pay for their level and step (excluding COLA) by 2,008 hours.

.13 Employees Serving in More Than One Position

.131 Part-Time Flexible. Insured employees who legally and concurrently hold more than 1 appointment, of which at least 1 is for a part-time flexible schedule position, are covered by an amount of regular insurance (and an equivalent amount of accidental death and dismemberment insurance) based on the position with the highest annual salary rate.

.132 Others. Insured employees who legally and concurrently serve in more than 1 covered position (other than as part-time flexible schedule employees), whether in the same or in different agencies, are covered by an amount of regular insurance (and an equivalent amount of accidental death and dismemberment insurance) based on the sum of their annual base pay for all positions.

532.2 Amount

.21 Regular Insurance

.211 Minimum. If annual base pay is $8,000 or less, employees are insured for $10,000. $10,000 is the minimum amount of insurance coverage available plus an equivalent amount of accidental death and dismemberment insurance.

.212 Maximum. If annual base pay is more than $8,000, employees are insured for an amount equal to the sum of annual pay rounded to the next higher thousand plus $2,000, up to a maximum $60,000 of regular insurance plus an equivalent amount of accidental death and dismemberment insurance.

.213 Automatic Change. The amount of regular insurance coverage (and equivalent amount of accidental death and dismemberment insurance) changes automatically whenever the employee's annual basic compensation is increased or decreased to the next $1,000 bracket.

.214 Accidental Dismemberment Provision

a. Allowance. The Accidental Dismemberment Provision allows for insurance payments for loss resulting from bodily injuries incurred solely through violent, external, and accidental means, provided the loss occurs within 90 days after the date of the accident.

b. Disallowance. The Accidental Dismemberment Provision does not allow insurance payment for bodily injuries attributed to the following causes:

(*1*) Disease or bodily or mental infirmity, medical or surgical treatment, or diagnoses thereof.

(*2*) Ptomaine or bacterial infection, except for septic infection from a visible wound sustained through violent, external, and accidental means.

(*3*) Hernia, no matter how sustained.

(*4*) Bodily injuries sustained during:

(*a*) Armed aggression or insurrection.

(*b*) War, declared or undeclared.

(*c*) Any act of war.

(*d*) Any aggression by armed forces against the United States in which nuclear weapons are being used.

(*5*) Intentional self-destruction or intentionally self-inflicted injury, while sane or insane.

c. Amount of Payment. The amount of accidental dismemberment payment depends on (1) the amount for which an employee is insured on the date that the accident occurs and (2) the extent of loss. (The maximum for any 1 accident is 100%)

d. Payment Schedule

Extent of Loss	% of Insurance Payable (Maximum for any one accident is 100%)
Total and Irrecoverable Loss of Sight in Both Eyes	100%
Total and Irrecoverable Loss of Sight in 1 Eye	50%
Severance At or Above the Wrist Joint of Both Hands	100%
Severance At or Above the Wrist Joint of 1 Hand	50%
Severance At or Above the Ankle Joint of Both Feet	100%
Severance At or Above the Ankle Joint of 1 Foot	50%
Severance At or Above the Wrist Joint of 1 Hand and At or Above the Ankle Joint of 1 Foot	100%
Severance At or Above the Wrist Joint of 1 Hand and the Ankle Joint of 1 Foot and Total and Irrecoverable Loss of Sight in 1 Eye	100%

e. Supplemental Benefits. Employees or survivors who are entitled to a dismemberment or accidental death insurance benefit may receive the benefit even though they are entitled to payment under another federal law for the same loss.

Example: An employee who loses a hand in an on-the-job accident may receive the insurance payment for the dismemberment. An employee who qualifies may also receive either disability annuity payments or Office of Worker's Compensation Programs (OWCP) benefits.

.22 Optional Insurance. The only amount of optional insurance (life and accidental death and dismemberment) is $10,000. No other amount is available.

533 Cost, Payment, Withholdings

533.1 Regular Insurance

.11 Cost. The USPS assumes the full cost of regular insurance for all eligible employees.

.12 Payment Schedule

ANNUAL BASE PAY

More Than	But Not More Than	Amount of Regular Insurance
0	$ 8,000	$10,000
$ 8,000	9,000	11,000
9,000	10,000	12,000
10,000	11,000	13,000
11,000	12,000	14,000
12,000	13,000	15,000
13,000	14,000	16,000
14,000	15,000	17,000
15,000	16,000	18,000
16,000	17,000	19,000
17,000	18,000	20,000
18,000	19,000	21,000
19,000	20,000	22,000
20,000	21,000	23,000
21,000	22,000	24,000
22,000	23,000	25,000
23,000	24,000	26,000
24,000	25,000	27,000
25,000	26,000	28,000
26,000	27,000	29,000
27,000	28,000	30,000
28,000	29,000	31,000
29,000	30,000	32,000
30,000	31,000	33,000
31,000	32,000	34,000
32,000	33,000	35,000
33,000	34,000	36,000
34,000	35,000	37,000
35,000	36,000	38,000
36,000	37,000	39,000
37,000	38,000	40,000
38,000	39,000	41,000
39,000	40,000	42,000
40,000	41,000	43,000
41,000	42,000	44,000
42,000	43,000	45,000
43,000	44,000	46,000
44,000	45,000	47,000
45,000	46,000	48,000
46,000	47,000	49,000
47,000	48,000	50,000
48,000	49,000	51,000
49,000	50,000	52,000
50,000	51,000	53,000
51,000	52,000	54,000
52,000	53,000	55,000
53,000	54,000	56,000
54,000	55,000	57,000
55,000	56,000	58,000
56,000	57,000	59,000
57,000	....	60,000

533.2 Optional Insurance

.21 Cost. The cost of optional insurance depends on the employee's age. The entire cost is paid by the employee and is withheld from pay as determined by the CSC. (See 533.221)

.22 Withholdings

.221 Withholding Schedule:

Age Group	Amount of Withholdings Per Pay Period
Under 35	$0.80
35 to 39	1.20
40 to 44	1.90
45 to 49	2.90
50 to 54	4.50
55 to 59	10.50
60 or over	14.00

.222 Birthdays/Pay Periods. For optional insurance purposes, an employee attains age 35, 40, 45, 50, 55, or 60 on the first day of the first pay period beginning on or after January 1 of the year following the one in which one of the aforementioned birthdays occurred.

.223 Insufficient Pay to Cover Optional Insurance Withholdings

a. Priority of Withholdings. If the amount of pay for a pay period is not sufficient to cover all withholdings, deductions are made in the order of priority indicated in F-24, Manual Payroll.

b. Termination of Insurance. Employees become ineligible for optional insurance, and coverage is terminated at the end of the pay period in which the employing office determines that the employee's periodic pay, after all deductions, is insufficient to cover the full cost of the optional insurance. This determination is made when it is expected that during the next 6 months, the employee's regular pay (after other deductions) will be insufficient to provide the total required withholdings for the optional insurance for at least 50% of the pay periods.

c. Cancelling Non-Mandatory Deductions. Employees may cancel or reduce other non-mandatory deductions from pay in order to increase their net pay to provide the total required withholdings for the optional insurance.

534 Special Circumstances Affecting Coverage

534.1 LWOP

.11 12-Month Maximum. Employees may be in non-pay status up to 12 months and their regular and optional life insurance coverage continues without cost. At the end of 12 months, the coverage ceases. The 12 months in non-pay status may be continuous or may be broken by periods of less than 4 consecutive months in non-pay status. If employees have at least 4 consecutive months during which they receive some pay in each pay period after a period of non-pay status, they are entitled to begin a new 12 month period.

.12 Notice of Right of Conversion. See 535.63

.13 Return To Duty. If employees return to positions not excluded from coverage after their insurance coverage ceases due to expiration of the allowable maximum 12 months in non-pay status, they are again eligible for insurance. Restoration is automatic at the time employees actually enter on duty in a pay status unless they file a waiver of regular insurance (or declination of optional insurance). If the employees again go on LWOP and have not completed 4 consecutive months in pay status, insurance coverage ceases the last day of the last pay period in which they were in pay status.

.14 Appointment To Temporary Position

.141 Coverage. If employees in non-pay status, who are entitled to free insurance while in a non-pay status, accept temporary appointments to positions excluded from insurance coverage, they continue to receive insurance coverage. Regular insurance coverage is based on the higher salary rate. Upon termination of the temporary appointment, the employees' insurance coverage reverts to the first position and regular insurance coverage is based on that salary rate.

.142 New 12-Month Maximum. If employees serve and receive pay for 4 consecutive months in temporary positions, they are entitled to begin a new 12 month maximum non-pay period during which their insurance continues.

.143 Optional Insurance Withholdings. Withholdings for optional insurance are made from the employee's pay earned in the temporary position.

.15 Retirement Annuity Pending

Employees who are in non-pay status while their application for retirement annuity is pending, continue to be insured until the expiration of the 12 months in a non-pay status or until employees are separated, whichever occurs first. If insurance is terminated for either of these reasons, it is restored to employees as annuitants, provided:

a. Annuities become effective no later than 1 month after the insurance held as employees is terminated, and

b. Employees are eligible to continue insurance coverage into retirement (see 531.1).

534.2 Service in Employee Organization

.21 Election

.211 General. Employees who are granted LWOP to serve as a full-time officer or employee of an employee organization composed primarily of Federal Government employees, may file an election to continue or not to continue life insurance coverage for as long as they are on LWOP. The election is filed with the employee's installation head within 60 days after LWOP begins.

.212 Employee Elects to Continue. If employees elect to continue insurance coverage, they pay for (or arrange to have paid) on a current basis, the total premium cost as determined by the Postal Data Center (PDC).

.213 Employee Does Not Elect to Continue. If employees do not elect to continue insurance coverage, the insurance continues for the maximum 12-month LWOP period and then is terminated.

.22 Installation Head Responsibility

.221 Notify Employee of Right to Elect. As soon as LWOP is authorized, the installation head notifies the employee of the right to elect to continue or to discontinue insurance coverage. The employee's election must be in writing.

.222 Set Up Reminder System. The installation sets up a follow-up system to remind employees that an election is to be filed within a 60-day time limit.

.223 Contact Employee. If an employee does not make an election, the installation contacts the employee to urge that an election be made (if possible).

.224 Document Action. If, after being contacted, the employee continues to refuse to make the election, all action taken is documented. Failure of the employee to make an election is considered an election to not continue the insurance.

.225 Copy of Election Filed. A copy of the election (or installation head's documentation) is filed in the employee's official personnel folder.

534.3 Employee Receiving OWCP Benefits

.31 Eligibility

.311 Regular Insurance. Employees receiving Office of Workers' Compensation benefits may retain regular life insurance (not accidental death and dismemberment) without cost, provided that:

a. On the day that regular insurance terminates:

(*1*) They are in receipt of benefits under the Federal Employee's Compensation Act because of disease or injury, and

(*2*) The Department of Labor has held that they are unable to return to duty.

b. They do not convert to individual policies.

.312 Optional Insurance. The full cost of optional insurance is withheld from compensation until employees reach age 65. Employees may retain optional life insurance (not accidental death and dismemberment) provided:

a. They are eligible to continue regular insurance, and

b. They have had optional insurance in force for no less than:

(*1*) The full period or periods of service during which the optional insurance was available to them, or

(*2*) The 12 years of service immediately preceding their retirement.

.32 Termination of Insurance. The continued insurance coverage accorded employees who are receiving OWCP benefits and who are unable to return to active service terminates when their compensation benefits cease or when the Department of Labor rules that the employees are able to return to active service. The employees do not have a 31 day extension of life insurance (535.62) nor do they have the privilege of converting to individual policies (535.7).

.33 Resumption of Insurance. Employees who receive OWCP benefits and then return to pay status (or separate and then are reemployed) again become insured as employees. Employees who receive OWCP benefits and then receive an immediate Civil Service annuity retain insurance coverage as retired employees.

.34 Notice of Right of Conversion or Continuation

.341 Choice. Employees who have completed 12 months in a non-pay status and who are receiving benefits under the Federal Employee's Compensation Act are given SF 56, *Agency Certification of Insurance Status*, and are informed that they have a choice of converting to an individual policy or continuing with group life insurance (not accidental death or dismemberment). Continuance of insurance is contingent upon a ruling by the Secretary of Labor that the employee is unable to return to duty.

.342 Cost. The regular insurance continues without cost to employees, but the optional insurance premiums are withheld from compensation payments.

.343 Procedures for Continuation. If employees decide to continue group life insurance, the following procedures apply:

a. Employees apply on the reverse of SF 56, entering their compensation claim number, signature, and address.

b. The installation forwards the completed form (with any valid SF 54, *Designation of Beneficiary*, that the employees may have on file) to the CSC.

c. Upon receipt of the completed SF 56, the CSC verifies with the Department of Labor the employees' compensation status.

d. The CSC then informs the employees whether they remain insured.

535 Actions

535.1 Acquiring Coverage

.11 Regular Insurance

.111 Newly Eligible Employees. Employees who are newly eligible (newly hired persons or persons converted from positions in excluded categories to positions covered by life insurance) automatically acquire regular life insurance coverage on the first day of active duty in pay status, without cost to them.

.112 Transfer Employees. Eligible employees who transfer into the USPS on or after July 20, 1974, from a federal agency automatically obtain regular life insurance coverage, at no cost to them, on the first day of active duty in pay status.

.113 Previous Waiver

a. All waivers of regular life insurance in USPS employees' personnel folders are to be cancelled (by virtue of USPS employment) before the folders are forwarded to another agency or sent to the National Personnel Records Center for retention. (A rubber stamp notice on the SF 176 citing 5 C.F.R. 870.204 as the reason for the cancellation of the waiver is sufficient.)

b. A waiver of regular life insurance in effect at the time an individual becomes an employee of the USPS (provided the appointment is on or after July 20, 1974, and the position is not excluded from insurance coverage) is automatically cancelled. The employee becomes insured for regular life insurance on the first day of active duty in a pay status.

.12 Optional Insurance

.121 Eligibility

Eligible employees who have regular insurance and who have not previously declined optional insurance are eligible to elect the $10,000 additional optional insurance.

.122 Election/Declination Requirement

a. Within 31 days after becoming eligible for optional insurance, employees must complete and submit SF 176, *Life Insurance Coverage*, for the purpose of electing or declining optional insurance, unless a declination of optional insurance filed on SF 176 during earlier employment remains in effect.

b. If eligible employees decline to file SF 176, the employing office completes the form for them, declining the optional insurance. In the space provided for the employee's signature, the employing office enters the employee's name and the date that the employee was contacted and failed to elect optional insurance. The installation official making the entry signs and dates the form.

.123 Effective Date

Optional insurance affirmatively elected is effective on the first day the eligible employee actually enters on duty in a pay status on or after the day the election is received in the employing office.

.124 Belated Election

a. Cause Beyond Employee's Control. If, within 6 months after an employee becomes eligible, the employing office determines that the employee was unable to timely elect optional insurance due to "cause beyond the employee's control," the employing office may accept the election within 31 days after notifying the employee of its determination.

Examples: (1) The employing installation did not give new employees information about optional insurance, or (2) employees were told by the employing installation that they were not eligible for optional insurance.

b. Documentation. If an employing office accepts a late election, it records in the box labeled "For Employing Office Use Only" on SF 176 its determination that the employee was unable to make a timely election for cause beyond the employee's control, giving the date the employee was notified of the determination. When an employee elects optional insurance, it is especially important that this be documented on the SF 176 for purposes of meeting the "coverage for the full period of service during which optional insurance was available or for the last 12 years" requirement for continuing optional insurance after retirement. The employee's reason for failing to timely elect need not be stated on the SF 176. Instead, a memo stating the reason is attached to the original SF 176.

c. Retroactive. Late elections are effective retroactive to the pay period beginning immediately after the one in which the employee first became eligible.

535.2 Waiver of Regular Insurance

.21 Filing SF 176. New employees who, for religious or other reasons, do not want free regular life insurance, file SF 176 with their employing offices, waiving insurance coverage.

.22 Effective Date. A waiver becomes effective at the end of the pay period in which the SF 176 is received by the employing office.

.23 Employee Statement. The installation makes absolutely certain that employees understand the consequence of their waiver. A statement signed by the employee, together with SF 176, waiving insurance coverage, is filed as a permanent record in the employee's official personnel folder (see 535.24).

.24 Sample Statement

TO: Postmaster

(City, State, ZIP)

I have been informed of my right to receive regular life insurance coverage of at least $10,000 based on my employment with the U.S. Postal Service. I fully understand that this regular life insurance coverage is available without cost to me. While I have had the benefits of this free coverage explained to me, I still elect not to accept such free life insurance and have so indicated on Part C of Standard Form 176.

(Signature)

(Date)

(City) (State) (ZIP)

535.3 Declination of Optional Insurance

Employees who elect the regular insurance but who do not desire the optional insurance must file a properly completed SF 176, declining the optional insurance.

535.4 Effect of Waiver or Declination

.41 Reappointment/Transfer. Once a properly executed waiver of regular insurance or declination of optional life insurance, completed on or after July 20, 1974, by a postal employee is received in the employing office and is made effective, it remains in effect until cancelled even though the employee may transfer to another agency or be reappointed after a break in service. See 535.8 for procedures for cancelling waiver or declination.

.42 Previous Filing

.421 Regular Insurance. An eligible employee who has previously worked for the Federal or District of Columbia Government, and who has never filed a waiver, automatically has regular life insurance coverage. If an uncancelled waiver of regular life insurance is outstanding and another waiver is not filed, the waiver is automatically cancelled when the individual is employed by the USPS, provided the position is not excluded from insurance coverage. The employee acquires free regular insurance on the first day of active duty in pay status.

.422 Optional Insurance. If an uncancelled declination of optional insurance is outstanding, the employee cannot elect optional insurance until the declination is cancelled.

535.5 Cancellation

.51 Filing SF 176. Employees may cancel insurance by filing a completed SF 176 with employing offices. They may cancel regular and optional insurance or may cancel optional insurance only.

.52 Effective Date. Cancellations become effective at the end of the pay period in which the SF 176 cancelling the insurance is received by the employing office.

535.6 Termination

.61 Effective Date

.611 Regular Insurance. An employee's regular insurance terminates:

a. At the end of the last day of the pay period in which the employing office receives the employee's waiver of life insurance coverage (SF 176), or

b. At the end of the day on which the employee is separated for any reason, including separation for transfer to another agency (except a mass change—transfer of the organizational unit), or

c. At the end of the day on which the employee completes 12 months in a nonpay status as explained in 534.1, or

d. At the end of the last day of the employee's last pay period in pay status, if the employee is not entitled to any further continuation because they have not completed 4 consecutive months in pay status since exhausting 12 months maximum LWOP (534.11), or

e. At the end of the day which precedes the day the employee moves to excluded employment.

.812 Optional Insurance. An employee's optional insurance terminates:

a. At the time the regular insurance terminates, or

b. On the last day of the pay period in which the employing office received the employee's declination of optional insurance (SF 176), or

c. On the date preceding the date the employee's regular insurance is continued into retirement (or during the time that the employee is in receipt of compensation for a work injury, if not eligible to continue optional insurance also), or

d. At the end of the pay period in which it is determined, in accordance with instructions in 533.223 that the employee's periodic pay, after all other deductions are made, is insufficient to cover the full cost of the optional insurance.

.62 Temporary Continued Protection For 31 Days

When regular or optional insurance (or both) terminates, except by waiver or declination, the employee continues to have life insurance protection (not accidental death and dismemberment) for 31 days thereafter. This 31 day temporary extension is automatic. (There is no extension of protection when insurance terminates by waiver or declination.)

.63 Notice of Termination and of Conversion Privilege

.631 Notification Requirement. The employing office is required to promptly issue SF 56 to employees. This form serves as notice of conversion privilege when group insurance terminates under conditions entitling employees to convert to individual policies.

a. Conditions for Issuing SF 56. SF 56, *Agency Certification of Insurance Status,* is issued by the employing office when insurance terminates (except by waiver or declination) as a consequence of one of the following:

(*1*) Separation, such as, but not limited to:

Resignation
Retirement
Death
Removal

(*2*) Completion of 12 months in a nonpay status.

(*3*) Move to excluded employment in which the employee is not eligible to continue or reacquire insurance coverage, or

(*4*) Entry into active military service covered by military leave with pay which terminates before the employee is scheduled for release from military duty. (SF 56 is issued when military leave with pay ceases. Issuance of SF 56 is not necessary if it is known that within 3 calendar days after the date that military leave with pay ceases, the employee will return to government service and will be eligible to reacquire insurance.)

b. Conditions for Not Issuing SF 56. Employees are not entitled to convert to individual policies of life insurance and SF 56 is not issued if insurance terminates under these 2 conditions:

(*1*) Regular or optional insurance, or both, terminate because the employee filed a waiver or declination (SF 176) cancelling coverage, and

(*2*) Insurance terminates for any other reason, and within 3 calendar days after the date the insurance terminates, the employee returns to government service in the same or another position in which the employee is eligible to reacquire insurance.

.64 Requirement for Continuous Protection. To have continuous insurance protection, the employee must normally apply for an individual policy and pay the first premium to the insurance company within the 31 day temporary extension period. (See 535.63)

535.7 Conversion

.71 Converted Policy

.711 Purchase of Individual Policy. An employee whose insurance terminates (except by waiver or declination) may purchase an individual policy from any eligible insurance company that the employee selects. A medical examination for determining insurability is not required. The policy, at the employee's option, may be equal to or less than the group insurance the individual had as an employee, including optional insurance but excluding accidental death or dismemberment benefits. The policy may be in any form customarily issued by the insurance company, except term insurance.

.712 Information Source. Information regarding insurance companies which are eligible and willing to handle conversions may be obtained from the Office of Federal Employees' Group Life Insurance, 4 East 24th Street, NY, NY 10010

.72 Time Limits for Conversions

.721 Employing Office Responsibility. The employing office furnishes SF 56s to employees, advising them that the form provides conversion information. If through administrative error, SF 56 is not issued within 75 days after an employee's insurance terminates, the employing office contacts the individual and determines whether the employee wishes to convert. If the individual wishes to convert, the employing office obtains permission from the CSC to issue a SF 56. (This request to CSC must explain the reasons for the delay in issuing SF 56.) The fact that an employee does not wish to convert should be documented.

.722 Employee Responsibilities:

a. An employee who desires to convert to an individual policy submits SF 56 to the Office of Federal Employees' Group Life Insurance (OFEGLI) within 31 days after termination of the insurance or if not notified of conversion privilege at time of termination, within 15 days after being notified of conversion privilege.

b. An employee who desires continuous coverage applies for conversion and pays the first premium within the 31 day period.

535.8 Cancelling of Waiver or Declination

.81 Conditions

Employees who previously waived (or declined) insurance coverage may cancel a waiver (or declination) if all of the following conditions are met:

a. The employee is under age 50 on the date that the insurance is requested.

b. The date that the employee requests the insurance is at least 1 year after the effective date of the last waiver (or declination).

c. The employee furnishes satisfactory medical evidence of insurability.

.82 Procedures. To cancel a waiver or declination, the employee completes SF 51, *Request for Insurance,* and submits it to OFEGLI. Any fee for medical examination and certification is paid by the employee. If the request for insurance is approved by OFEGLI, appropriate steps are taken to assure that (optional) life insurance deductions are withheld as required (535.832). If denied, a request for further consideration may be made to OFEGLI. Their decision is final and cannot be appealed.

.83 Coverage After Cancellation of Waiver or Declination

.831 Regular Insurance

a. Pay Status Requirement. Coverage is effective on the employee's first day in a pay status following the date of approval by OFEGLI as shown on SF 51. If the employee is not at that time in a pay status, coverage becomes effective at the time the employee enters on duty the first day in a pay status.

b. Expiration of 31 Days. If, for any reason, the employee does not become insured within 31 days after OFEGLI approval, the authorization to cancel the waiver expires. The employee then repeats the procedure (if still eligible) by completing and filing another SF 51, *Request for Insurance.*

c. Subsequent Cancellation. If, after cancellation of the waiver of regular insurance, the employee wishes to again cancel insurance coverage, a new waiver on SF 176 is filed.

.832 Optional Insurance

a. Filing Election. After approval by OFEGLI of an employee's request for cancellation of a declination of optional insurance, the employee has 31 days in which to complete an SF 176 electing optional insurance and to file it with the employing installation. The election (and optional insurance coverage) is effective at the time the employee enters on duty the first day in pay status on or after the day the election is received in the employing installation. Withholdings for optional insurance begin with that pay period.

b. Requirements. OFEGLI approval is revoked automatically and the optional insurance does not become effective if the employee fails to submit an election or to meet the pay and duty status requirements within 31 days after the date of approval.

c. Subsequent Declination. If, after electing the optional insurance, the employee wishes to again decline, a new declination on SF 176 is filed.

536 Retirement

536.1 Requirements for Continuance

.11 Regular Insurance. An employee who retires retains regular life insurance (not accidental death and dismemberment) without cost if all of the following requirements are met:

a. The employee retires from a position in which insured.

b. The employee does not convert to an individual policy when regular insurance as an employee would otherwise cease.

c. The employee retires on an immediate annuity. (*Example:* Annuity begins to accrue no later than 1 month after the date the insurance would otherwise cease.)

d. The employee retires because of disability or after at least 12 years of creditable service.

.12 Optional Insurance

Employees who retire retain optional life insurance (not accidental death and dismemberment) if they are eligible to continue regular insurance and have had optional insurance in force for no less than:

a. The full period or periods of service during which the optional insurance was available to the employees. (For this purpose, April 14, 1968, is the earliest date on which optional insurance was available); or

b. The 12 years of service immediately preceding the employees' retirements. (The full cost of optional insurance is withheld from the annuity until the employees attain age 65. There is no cost for optional insurance after age 65.)

.13 Retirement Application Requirement. An employee who desires to retain life insurance must meet all requirements for retirement on an immediate annuity, including having filed an application for retirement. When an employee defers the filing of an application for retirement, life insurance protection lapses at the expiration of 31 days from the date of separation. It is reinstated when the employee files the application and meets all requirements for eligibility for an annuity.

536.2 Amount Adjustment. When an insured employee retires and regular and optional insurance coverage is retained, the amount of insurance is adjusted as follows:

a. Each month, beginning on the first day of the second calendar month following the date of retirement or 65th birthday, whichever is later, the employee's insurance is reduced by 2% of the amount in force at retirement.

b. The above reductions continue until the amounts of regular and optional insurance reach 25% of the amounts in force before any reduction.

Example: A retired employee, who had insurance of $10,000 at separation on September 30, 1975, became 65 in October, 1975. Effective December 1, 1975, the amount of insurance was reduced by $200. On January 1, 1976, it was reduced by another $200. By January 1, 1979, the insurance is reduced to $2,500 and no further reductions are made.

536.3 Cost

.31 Regular Insurance. An employee who retires retains regular life insurance (not accidental death and dismemberment) without cost if all the requirements in 536.1 are met.

.32 Optional Insurance. An employee who retires retains optional insurance (not accidental death and dismemberment) if:

a. Eligible to continue regular insurance, and

b. Meets all of the requirements in 536.1. The full cost of optional insurance is withheld from the employee's annuity until age 65. There is no cost for optional insurance after age 65.

536.4 Social Security Retirement

Temporary or indefinite postal employees who retire under social security are eligible to continue FEGLI coverage during retirement if they meet the requirements in 536.1. When an employee retires under social security, the Social Security Administration certifies the employee's retirement status to the CSC. The Commission determines whether the employee meets the requirements for insurance as a retired employee and informs the employee and the Social Security Office of its determination. See 575.

536.5 Disability Retirement

.51 Regular Insurance. An employee who retires on disability retains regular insurance.

.52 Optional Insurance. The installation provides the PDC with information relative to the employee's optional insurance. The optional insurance status of the applicant for disability retirement is shown in the remarks column on the employee's preliminary retirement record, SF 2806, as follows:

a. Optional insurance declined, or

b. Optional insurance elected effective (Date). If a belated election is allowed by the installation for "cause beyond the employee's control," add the notation "Late election allowed under 871.202(b) of the regulations", or

c. Not eligible to continue optional insurance.

537 Reemployed Annuitants

537.1 Coverage

.11 Termination

When insured annuitants are reemployed under conditions which terminate annuity, the insurance carried as a retired employee is terminated without the right to convert. However, the employees may acquire insurance provided the new employment is not a position which is excluded from coverage.

.12 Retention During Reemployment

When insured annuitants are reemployed under conditions which do not terminate their annuity, they retain regular life insurance and any optional life insurance held as retired employees. However, if the annuitants acquire new insurance (537.13) then the insurance as retired employees is suspended (537.14).

.13 Automatic

Annuitants appointed to nonexcluded positions automatically acquire full insurance coverage on the first day in pay and duty status unless they file a waiver or declination or have an unrevoked declination on file. The insurance acquired is the same as that held as an employee. Coverage includes regular and optional life insurance, and accidental death and dismemberment benefits (if the employee is eligible).

.14 Suspended

.141 Appointment to Nonexcluded Position. If an insured annuitant is appointed to a nonexcluded position, the total amount of regular and optional insurance held as a retired employee is suspended on the day before the first day in a pay status under the appointment.

.142 Employee Reaches Age 65. During the time that the insurance is suspended, any reductions in coverage because the employee reaches 65 years of age apply.

.143 Employee's Death. The suspended insurance, less applicable reductions, is automatically reinstated upon the employee's death in the amounts necessary to assure that the total of all insurance benefits paid is no less than the amount which would have been paid had the annuitant not been reemployed (537.21).

.15 Waiver and/or Declination of Coverage

.151 Insurance Affected. Declination or waiver filed by a reemployed annuitant applies to insurance as an employee and also to insurance as an annuitant.

.152 Effect. Employing offices make certain that a reemployed annuitant who wishes to file a waiver and/or declination understands the effect of such action. Employees should not file a waiver and/or declination if they want previously acquired insurance that they had as annuitants to continue.

.153 Employing Office Procedures. Whenever a declination or waiver is filed by a reemployed annuitant, the following procedures must be applied to assure that CSC records are noted regarding the waiver:

(*1*) SF 176 is executed in triplicate and all copies are signed by the employee and are witnessed.

(*2*) The words "Reemployed Annuitant" and, if known, the retired employee's CSA or CSI number are entered on all copies of SF 176.

(*3*) 1 copy of SF 176 is sent to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415. The original is filed as a permanent record in the reemployed annuitant's official personnel folder. 1 copy is forwarded to the PDC.

.16 Amount of Coverage

.161 Regular Insurance

The amount of a reemployed annuitant's regular insurance coverage (as an employee) is based on the annual basic pay before reduction of pay by annuity allocable to the period of reemployment.

.162 Optional Insurance

a. The amount of a reemployed annuitant's optional insurance coverage is $10,000 even if the annuitant reaches age 65 and the amount of optional insurance as a annuitant has already been reduced.

b. Withholdings are made if the annuitant is under age 65.

.17 Termination and Conversion

.171 Termination Date. Unless retained under 537.18, insurance acquired during reemployment terminates (subject to a 31 day temporary extension) on the date the reemployment terminates.

.172 Conversion Privilege. Insurance acquired during reemployment may be converted only if the annuitant does not have insurance coverage as a retired employee. A reemployed annuitant who has insurance coverage (as a retired employee) which was suspended during the period of reemployment does not have the conversion privilege. The suspended insurance is reinstated as explained in 537.14.

.18 Continuance Upon Termination of Reemployment

.181 Retention. Upon the employee's separation from reemployment, the life insurance which was acquired during reemployment (not accidental death and dismemberment) may be retained only if the reemployed annuitant:

a. Has completed the equivalent of at least 1 year of continuous full-time service which meets requirements for supplemental annuity, or has otherwise acquired a new retirement eligibility, and

b. Meets the eligibility requirements for continuance of insurance coverage set forth in 536.

.182 Adjustment. If the insurance acquired during reemployment is retained, it continues, subject to reduction at age 65, the same as for any other retired employee. At death, previous insurance as an employee, still in suspension, is automatically reinstated (537.14) to assure that the amount paid is not less than it would have been had the individual not been reemployed.

.183 Withholdings. If withholdings for optional insurance were made from the reemployed annuitant's pay and the period of reemployment was for *less than 1 year*, the CSC is notified when the reemployment terminates so that appropriate optional insurance withholdings are made from the annuity if based on optional life insurance coverage retained from the employee's actual retirement.

537.2 Benefits

.21 Amounts/Conditions. In the case of a reemployed annuitant, benefits are payable in the same amounts and under the same conditions as for other employees. If the amount of the reemployment acquired insurance benefit is more than the amount of suspended life insurance, the greater amount is paid. The total of all insurance benefits paid after death, accidental or otherwise, is not less than the amount which would have been paid had the retired employee not been reemployed. As needed, the amount of insurance suspended upon reemployment is reinstated automatically upon the employee's death in such amount as is necessary to make up the benefit payable.

.22 Greater Amount Paid. If an annuitant is eligible to continue reemployed acquired life insurance after separation, the amount in force at time of death is compared with the amount of any suspended life insurance at that time. The greater amount is paid as the death benefit.

Example 1

Amount of Coverage:

A reemployed annuitant has $12,000 of life insurance as an employee and $12,000 accidental death and dismemberment insurance. The employee's suspended life insurance is $11,000.

Death Benefit:

The death benefit payable is $12,000. If death is accidental, the death benefit payment is $24,000.

Example 2

Amount of Coverage:

A reemployed annuitant has $10,000 of life insurance as an employee and $10,000 accidental death and dismemberment insurance. The employee's suspended life insurance is $11,000.

Death Benefit:

$1,000 of the suspended benefit is reinstated and $11,000 is paid in death benefits. If death is accidental, the death benefit payment is $20,000.

537.3 Designation of Beneficiary

.31 Designation In Effect

A designation of beneficiary covers all insurance under the group policy. Any designation previously filed as a retired employee remains in effect until changed or cancelled.

.32 Change of Beneficiary

.321 Employee. A reemployed annuitant may designate a beneficiary or change or cancel a designation by executing SF 54, *Designation of Beneficiary*, with the employing office.

.322 Employing Office. A designation of beneficiary received by an employing office from a reemployed annuitant is sent, for central filing, with other retired employee designations to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, 1900 E Street NW, Washington, DC 20415. Type "Reemployed Annuitant" and the CSA or CSI number on the designation form; enter the date and the name of the person in the employing office who received the form.

538 Beneficiaries, Benefits Payable, Claims

538.1 Beneficiaries

.11 No Named Beneficiary

.111 Order of Precedence. In the absence of a SF 54, *Designation of Beneficiary,* insurance benefits payable upon the death of an insured employee or retired employee are paid to the survivors in the following order of precedence:

a. Widow or widower.

b. Child or children in equal shares with the share of any deceased child distributed in equal shares among the descendants of that child.

c. Parents in equal shares, or the entire amount to the surviving parent.

d. Executor or administrator of the estate.

e. Next of kin as determined under the laws of the state in which the insured was domiciled.

.112 Informing the Employee. The employing office informs the employee that insurance death benefits are paid in the order of precedence as shown in 538.111 unless SF 54 is filed.

.12 Specific Designation

.121 SF-54. An employee who desires an order of precedence different from listing in 538.111, or who desires to name some person, firm, or other legal entity not listed in 538.111, files a SF 54 with the employing office.

.122 Contingent Provisions. Designations containing contingent provisions (such as, "to John if he is living at home," or "to John if he uses the money for educational purposes") are not accepted by the employing office.

.123 Agency as Beneficiary. An agency of the Federal or District of Columbia Government cannot be named as a beneficiary.

.124 Procedures for Filing. The employing office:

a. Checks to determine that SF 54 is properly signed, witnessed, and otherwise complete. (A witness is not eligible to receive payment as a beneficiary.)

b. Notes in the space provided on SF 54 the date that the form was received in the employing office and the name of the person who received it.

c. Retains the original receipted SF 54 and places it in the employee's official personnel folder.

d. Returns the duplicate copy of the receipted SF 54 to the employee.

.13 Employees Informed

.131 Previous Designation Invalid. At the time that an employee becomes insured, the employing office informs the employee that any designation of beneficiary previously filed is no longer valid and that another SF 54 must be filed if the employee wishes to name a beneficiary. The employee is also informed that filing a designation is advisable under the following circumstances:

a. An employee does not have and cannot easily obtain a certificate of marriage or evidence of death or divorce dissolving a prior marriage.

b. A change in family status has occurred without a corresponding change in designation of beneficiary.

.132 Order of Precedence. The employing office makes it clear to the employee that the insurance death benefit (regular and any optional) is paid in the order shown in 538.111 unless a designation of beneficiary is filed. The designation of beneficiary applies to both the regular and optional insurance unless otherwise indicated.

.14 Change or Cancellation

Employees may cancel or change their designation of beneficiary at any time without the knowledge or the consent of any previous beneficiary.

.15 Automatic Cancellation

Designation of Beneficiary is cancelled automatically:

a. On the day the employee transfers to a different agency.

b. On the day a retired employee's Civil Service annuity terminates unless the employee is entitled to continued insurance while receiving injury compensation benefits.

c. On the day an employee's injury compensation benefits terminate or the employee is held able to return to work unless the employee is entitled to continued insurance as a retired employee.

d. 31 days after the employee ceases to be insured.

.16 Retiring Employee Designations

Any valid designation on file at the time insured employees retire remains valid as long as the retiring employees retain insurance as retired employees, unless they change the designation or cancel it. If there is no designation on file, retiring employees are informed of their right to file a SF 54 with the CSC.

.17 Reemployed Annuitant

See 537.3.

.18 Designation While Receiving OWCP Benefits

Any valid designation on file at the time insured employees apply for continued insurance coverage while receiving OWCP benefits and unable to return to duty remains valid. The employees may change or cancel the designation, as long as they retain insurance while receiving compensation and are unable to return to duty. If there is no designation on file, the employee is informed of the right to file SF 54 with the CSC.

538.2 Benefits Payable

.21 Amount

The death benefit is payable regardless of the cause of death and is always the amount that the employee is insured for on the date death occurs. Employees cannot have more than one amount of regular (and optional) insurance in force on their life at any one time.

.22 Accidental Dismemberment

.221 Single Accident. If, as a result of a single accident, an employee sustains more than one of the losses cited in 531.214, no more than the amount for which the employee is insured is payable.

.222 Multiple Accidents. There is no limitation on the number of times a benefit is payable for accidental losses resulting from different accidents.

> **Example:** An employee is paid for the accidental loss of sight in 1 eye. Later, as a result of another accident the employee loses both hands and is paid the full benefit for the second loss.

.23 Accidental Death

The accidental death benefit is payable in addition to the regular death benefit. The amount payable is the amount that the employee is insured for on the date that the accident resulting in death occurs.

.24 Accidental Dismemberment and Accidental Death. If, as a result of a single accident, both an accidental dismemberment benefit and an accidental death benefit become payable, the accidental death benefit is no more than the difference between the insurance in force and the amount already paid as a dismemberment benefit.

.25 Death During 31 Day Extension of Group Life Insurance. For an employee who after separation (but within the 31 day extension period during which group life insurance protection is extended) converts insurance and then dies, the benefit payable is the amount of group life insurance less any amount paid under the individual policy.

538.3 Claims

.31 Death of Insured Employee

.311 Contacting Persons Entitled to Benefits. Upon death or dismemberment of an insured employee, the employing office (a) contacts persons entitled to benefits, (b) assists in filing the claim and (c) determines that required forms and documents are properly completed and forwarded to OFELGI.

.312 SF 56

a. Installation heads certify SF 56, *Agency Certification of Insurance Status,* promptly and accurately. Particular attention is given to assuring that basic pay as shown in Item 6 is accurate and does not contain temporary COLA, overtime pay, holiday pay, etc.

b. When an insured employee dies while still on the postal rolls, SF 56 is sent to the Personnel Service Center (PSC) instead of directly to the OFEGLI in New York. The PSC promptly reviews all SF 56s within 1 workday after receipt to assure that the annual base pay in Item 6 does not include COLA. If the SF 56 is correct, the PSC immediately forwards the form to OFEGLI. If in error, the form is returned to the installation for correction and returned to the PSC on a priority basis.

.32 Death of Reemployed Annuitant

.321 Addressing Claims. If an insured reemployed annuitant dies during the period of reemployment, the claim for death benefits is filed through the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, 1900 E Street NW, Washington, DC 20415, and not directly with the OFEGLI. A claim from a reemployed annuitant for accidental dismemberment benefits is sent directly to the OFEGLI in New York.

.322 SF 56.

a. In completing SF 56, employing offices (1) show annual basic pay for insurance purposes (not reduced by annuity allocable to the period of reemployment); (2) enter the words "Reemployed Annuitant"; and (3) record the CSA or CSI number under the deceased person's name.

b. Installation heads (or designees) certify each SF 56 for accuracy and assure that annual basic pay in item 6 is correct, and excludes temporary COLA, overtime pay, holiday pay, etc.

.33 Requirements for Filing. Benefits are payable only upon submission of:

a. A claim (FE 6 or FE 7), and

b. Satisfactory proof of loss (death certificate, physician's statement or similar proof), and

c. A completed SF 56, *Certification of Insurance Status,* by the employing office.

.34 Forms Used

.341 Death Benefits. Claims for death benefits, including accidental death, are filed on Form FE 6, *Claim for Death Benefits.*

.342 Accidental Dismemberment. Claims for accidental dismemberment are filed on Form FE 7, *Claim for Accidental Dismemberment.*

.35 Time Limits for Filing Accidental Death or Dismemberment Claims. In cases of accidental death or dismemberment, written notice is sent to OFEGLI within 20 days of the accident. Claim for accidental death or dismemberment benefits, with proof of loss, is submitted within 90 days. If it is not possible to give the required notice and to file claim within the time periods specified, notice and claims are submitted as soon as reasonably possible, together with satisfactory explanation for the delay.

.36 Settlement. Claims for benefits are adjudicated and paid by OFEGLI. Claimant may elect payment of benefits in:

a. Lump-sum payment, or

b. Monthly or annual installments.

539 Insurance Forms

539.1 Filing

.11 SF 176, Life Insurance Coverage. File the original and send 1 copy to the PDC.

.12 SF 56, Agency Certification of Life Insurance Status. File 1 copy. The original is forwarded either to CSC or OFELGI depending upon the type of employee separation.

.13 SF 54, Designation of Beneficiary. File the original and destroy any previous form if the new designation is properly filed. Upon the employee's retirement, SF 54 is removed from the official personnel folder and is sent to CSC.

.14 SF 51, Request for Insurance. Only parts A and D of this form are maintained in the official personnel folder. Upon receipt of the SF 51 from OFEGLI, the employing office immediately detaches parts B and C, without reading, and forwards them to the medical officer for retention.

539.2 Privacy Act Considerations

.21 Handling and Disclosing Information. Life insurance records contain information about individuals. As such, they are handled and disclosed only in accordance with the Privacy Act and implementing instructions.

.22 Records Maintenance. An individual's life insurance records and related correspondence are maintained within the Postal Service in one of two ways: either in the personnel area as part of the privacy system entitled USPS 120.070, Personnel–Records—General Personnel Folders (Official Personnel Folders and Records Related Thereto) or in the PDC as part of the privacy system entitled USPS 050.020, Finance Records—Payroll System. Employees making formal privacy requests specifically for access to or update of these records direct their requests to the head of the installation where employed. Retired employees direct their requests to the nearest USPS personnel office for processing.

.23 Employee Retires. When an employee retires, copies of life insurance records are sent to the CSC. Retired employees making privacy requests specifically for Commission records direct their requests to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415.

539.3 Review Procedures—SF 56

.31 General. Installation heads (or designees) certify SF 56 promptly and accurately when an insured employee dies, retires, completes 12 months in a non-pay status, or separates from the service for other reasons. Each SF 56 is reviewed for accuracy and to make certain the annual basic pay in Item 6 is correct—i.e., excludes temporary COLA, overtime pay, holiday pay, etc.

.32 Employee Dies. When an insured employee dies while still on postal rolls, send SF 56 to PSC instead of directly to OFEGLI in New York. The PSC promptly reviews all SF 56s within 1 workday after receipt to assure that the annual base pay in Item 6 does not include COLA:

a. If the SF 56 is correct, the PSC immediately forwards the form to OFEGLI.

b. If the SF 56 is not correct, the PSC immediately returns the form to the installation for correction and immediate return to the PSC.

.33 Employee Retires or Separates. A special review procedure by PSC is not required on those SF 56s prepared while the employee is still alive, i.e., in retirement or separation cases. Reviews are made by the PSC and PDC when the SF 56 is processed through normal channels.

539.4 Requisitioning

.41 Form FE-7. Form FE-7, *Claim for Accidental Dismemberment,* is requested by letter from the U.S. Civil Service Commission, Washington, DC 20415, on an individual case basis, as needed.

.42 Forms Other Than FE-7. All insurance forms other than FE-7 are requisitioned from USPS area supply centers in the usual manner on Form 7380, *Requisition for Supplies.* Requisitions are submitted on a scheduled cycle.

.43 Estimating Requirements

.431 General. Estimates of forms requirements for any given period may be established based on anticipated accessions and separations for the period, in accordance with the table of estimated requirements 539.432.

.432 Table of Estimated Requirements

Title	**Estimated Requirements**
SF 176-A, *The Federal Employee's Group Life Insurance Program. (Pamphlet)*	1 for each new eligible employee.
G 3385 G, *Certificate of Regular Group Insurance*	1 for each new eligible employee.
G 3385 OPT, *Certificate Supplement-Optional Insurance*	1 for each 10 eligible employees.
SF 51, *Request for Insurance*	1 for each 20 new eligible employees.
SF 176, *Life Insurance Coverage*	1 for each new eligible employee.
SF 54, *Designation of Beneficiary*	1 for each 10 new eligible employees.
SF 56, *Agency Certification of Insurance Status*	1 for each insured employee to be separated.
FE 6, *Claim for Death Benefits (Group Insurance)*	1 for each 100 insured employees.

.433 Exceptions. When experience in a particular installation indicates that the estimated requirements ratios (listed in the table 539.432) are not correct, requisitions are adjusted to reflect actual needs. Forms are not to be requested in excess of the numbers required to insure an adequate supply for the requisition period.

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540 Injury Compensation Program

541 Overview

541.1 Background

.11 Law. Under the provisions of the Postal Reorganization Act, 39 USC 1005(c), all employees of the United States Postal Service (USPS) are covered by the Federal Employees' Compensation Act (FECA), 5 USC Chapter 81.

.12 Administration. FECA is administered by the Office of Workers' Compensation Programs (OWCP), United States Department of Labor. OWCP decides whether the employee, or a claimant acting on behalf of the employee, is entitled to benefits under FECA.

.13 Coverage

.131 Disability. FECA provides that employees who suffer job-related disabilities are entitled to:

a. Continuation of regular pay for the period of the disability, up to a maximum of 45 calendar days, for a traumatic job-related injury (see 541.2f).

b. Compensation for wages lost as a result of job-related injury or illness.

c. Medical care for disability due to:

(*1*) Personal injuries sustained while in the performance of duty; and

(*2*) Diseases proximately caused, aggravated, or accelerated by postal employment.

d. Vocational rehabilitation.

.132 Death. Payment of some funeral and burial expenses, and compensation for the loss of wages, including allowances for dependents, are provided for an injury or illness resulting in an employee's death.

.133 Schedule Awards. Compensation is provided for the permanent loss, or loss of use, of each of certain members, organs, and functions of the body.

.14 Privacy Act. Injury compensation records are maintained by the USPS within the privacy system of records identified as USPS 120.098 *(OWCP Record Copies).* See section 314 for a full explanation of injury compensation case files.

Public Library, Newark, N. J.

541.2 Definitions

Except where the content clearly indicates otherwise, the following definitions apply:

a. Benefits and Compensation refer to:

(*1*) Continuation of pay (COP), paid by the USPS (COP is not considered compensation by the OWCP);

(*2*) Money paid to claimants by the Department of Labor, because of loss of wages or earning ability;

(*3*) Money paid in the form of schedule awards (e.g., loss of finger);

(*4*) Money paid as reimbursement for medical diagnostic and treatment services supplied under FECA;

(*5*) Money paid to survivors of employees whose death is job-related; and

(*6*) Certain payments to individuals participating in an approved vocational rehabilitation program.

b. Claim means an assertion, in writing, of an individual's entitlement to benefits under FECA. This claim must be submitted on a form as required by 542. Conditions:

(*1*) A claim may be filed for a traumatic injury, an occupational illness or disease, or death.

(*2*) A claim for injury may include reimbursement for the replacement or repair of medical braces, artificial limbs, and other prosthetic devices, and for such time lost while such device or appliance is being replaced or repaired. However, a claim is not appropriate for the replacement or repair of eyeglasses and hearing aids, except as provided in 541.2e.

c. Claimant means an individual whose claim for benefits and/or compensation has been filed in accordance with FECA and the provisions of 542.

d. Official Superior means an individual who is responsible for the supervision, direction, or control of employees.

e. Injury may be a traumatic injury (see 541.2f), or an occupational illness or disease (see 541.2g), and includes damage to or destruction of medical braces, artificial limbs, and other prosthetic devices. The term does not include the damage or destruction of eyeglasses and hearing aids, unless the damage or destruction is a direct result of a personal job-related injury requiring medical services.

f. Traumatic Injury means a wound or other condition of the body caused by external force, including stress or strain. The injury must be:

(*1*) Identifiable as to time and place of occurrence and member or function of the body affected; and

(*2*) Caused by a specific event or incident, or series of events or incidents, within a single day or work shift; and

(*3*) May also include damage to or destruction of prosthetic devices or appliances.

g. Occupational Illness or Disease means an illness or disease produced by:

(*1*) Systemic infections;

(*2*) Continued or repeated stress or strain;

(*3*) Exposure to toxins, poisons, fumes, etc.; or

(*4*) Other continued and repeated exposure to conditions of the work environment over a longer period of time than a single day or work shift.

h. Monthly Pay means the greater of:

(*1*) Monthly pay at the time of injury;

(*2*) Monthly pay at the time disability begins; or

(*3*) Monthly pay at the time compensable disability recurs, if the recurrence begins more than 6 months after the injured employee resumes full-time employment with the USPS or other government agency.

i. Physician includes any surgeon, podiatrist, dentist, clinical psychologist, optometrist, chiropractor, or osteopathic practitioner used within the scope of their practice, as defined by state law. *Exceptions:*

(*1*) Chiropractors are included only to the extent that their reimbursable services are limited to treatment consisting of manual manipulation of the spine to correct subluxation as demonstrated by X-ray to exist.

(*2*) Naturopaths, faith healers and other practitioners of the healing arts are not recognized as physcians within the meaning of FECA.

j. Medical Officer means a USPS medical officer, medical designee, or contract medical officer.

k. 45-Day Continuation of Pay means 45 calendar days. If the employee has stopped working because of the disabling effects of a traumatic, job-related injury, the 45 calendar day period begins at the start of the employee's first full tour thereafter, or the first day following the disability, whichever occurs sooner. Continuation of pay can only be received if the disability begins within 6 months of the occurrence of the injury.

Examples:

(1) When an employee is called in ahead of the employee's scheduled tour and is injured during the call-in period, the 45-calendar day period begins at the start of the scheduled tour, if the employee is unable to continue to work due to the injury.

(2) If an employee is injured during the scheduled tour, the 45-calendar day period begins on the next calendar day, if the employee is unable to work due to the injury.

(3) If an employee works only a portion of a day or tour (other than the day or tour when the injury occurred) that day or tour is counted as 1 calendar day toward the 45-day period.

l. Control Officer heads the control office and is:

(*1*) The injury compensation supervisor/specialist if an injury compensation unit is available and staffed; or

(*2*) The medical officer or senior medical person if a medical unit or health unit is available and staffed; or

(*3*) An appropriate designated supervisor (full-time or collateral duty) if no injury compensation supervisor/specialist, medical unit, or health unit is available.

m. Control Point means an office or individual designated by the installation head, in those installations that do not have an injury compensation supervisor/specialist, medical unit, or a health unit. Control point personnel are trained to coordinate their efforts with the control office, which is usually located in the MSC to which the installation head reports.

541.3 Forms

Each installation head must maintain an adequate supply of the following basic forms needed for the recording and reporting of injuries;

CA-1, *Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation*
CA-2, *Federal Employee's Notice of Occupational Disease and Claim for Compensation*
CA-2a, *Notice of Employee's Recurrence Disability and Claim for Pay/Compensation*
CA-3, *Report of Termination of Disability and/or Payment*
CA-4, *Claim for Compensation on Account of Occupational Disease*
CA-5, *Claim for Compensation by Widow, Widower, and/or Children*
CA-5b, *Claim for Compensaiton by Parents, Brothers, Sisters, Grandparents, or Grand-children*
CA-6, *Official Supervisor's Report of Employee's Death*
CA-7, *Claims for Compensation on Account of Traumatic Injury*
CA-8, *Claim for Continuing Compensation on Account of Injury or Occupational Disease of Disability*
CA-10, *What a Federal Employee Should Do When Injured at Work*
CA-11, *When Injured at Work*
CA-13, *Notice to Employee*
CA-16, *Request for Examination and/or Treatment*
CA-17, *Duty Status Report*
PS-2556, *Statement of Recovery*
PS-2557, *Employee's Recovery Statement*
PS-2559, *Third Party Claim—Information Request*
PS-2560, *Referral of Third Party Material*
PS-2562, *Notice of Potential Third Party Claim*
PS-2572, *Injury Claims Analysis*
PS-2573, *Request OWCP Claim Status*
PS-2577, *Assignment of Claim to USPS*

542 Reporting Procedures

542.1 Report of Injury or Illness

.11 Traumatic Injury

.111 Notice. The notice of traumatic injury is given on Form CA-1.

.112 Time Limit. FECA requires that written notice of a traumatic injury be given within 30 days from the date on which the injury occurred. Failure to give notice within this time period will result in a loss of entitlement to continuation of regular pay and may also result in a loss of compensation rights—if claim for compensation is not filed within 3 years. In order to protect their own interests, and to ensure an uninterrupted income, employees should give notice, or have someone give notice on their behalf, within 2 days after the traumatic injury occurred.

.12 Occupational Illness or Disease

.121 Notice. An employee, or a person acting on behalf of the employee, must give written notice of the disease or disability to the employee's official superior when the employee believes that such disease or disability is employment related. If for any reason it is impractical to give this notice to the employee's official superior, notice of the disease or disability is given to any official of the USPS, or to the OWCP. The notice of disease or disability is given on Form CA-2.

.122 Time Limit. FECA specifies that notice be given within 30 days from the date on which the employee was informed by competent medical authority (or by the exercise of reasonable diligence, should have been aware) that the employee is suffering from an occupational disease or disability. Failure to give notice within this time period may result in a loss of compensation rights—if claim for compensation is not filed within 3 years. (Note that continuation of regular pay is not applicable in instances of occupational disability or disease.)

542.2 Report of Death

.21 Traumatic Injury

.211 Control Office Responsibilities. If an employee dies as a result of a traumatic injury sustained while in the performance of duty, the control office/control point immediately reports the death to the OWCP by telephone or telegraph. As soon as is practicable, but within 30 days from the date that death occurred, the reporting official completes and sends to the OWCP a form CA-6. Duplicate copies are forwarded to the appropriate regional and district directors of Employee and Labor Relations.

.212 Failure to Report Within Time Limit. Failure on the part of the reporting official to give notice within the period specified in 542.211 may result in a loss of compensation rights by the deceased employee's survivor(s), if claim for compensation is not filed within 3 years.

.22 Occupational Illness or Disease

.22 Responsibility to Report. When an employee dies as a result of an occupational disease, the control office or control point immediately reports the death as prescribed in 542.211. If for any reason it is impracticable for the control office or control point to report the employee's death due to an occupational illness or disease, the report may be made by any official of the USPS or any other person acting on behalf of the deceased employee's survivor(s). Duplicate copies are furnished to the appropriate regional and district E & LR directors.

.222 Failure to Report Within Time Limit. In all cases, notice must be given within 30 days from the date of death. In the case of a death due to an occupational disease or disability, the 30-day period specified in this section does not apply until such time as the deceased employee's survivor(s) or official superior should, by the exercise of reasonable diligence, be aware that the employee's death was due to an employment-related occupational disease or disability. The failure to give notice within the specified time period may result in a loss of compensation rights, if claim for compensation is not filed within 3 years.

543 Implementing Medical Care

543.1 Initial Medical Treatment

.11 General. A medical officer may provide initial medical treatment if:

a. Employees accept such treatment of their own free will; and

b. Treatment complies with Handbook P-14, *Health and Medical Service,* and with OWCP regulations and directives.

.12 First Aid. An employee with an injury requiring no more than first aid should be treated at the worksite, or at the USPS medical or health unit.

.13 Emergency Treatment. An employee needing emergency treatment in addition to first aid must be sent to the nearest available physician or hospital, of the employee's or employee's representative choice. When appropriate, a supervisor accompanies the employee to the doctor's office or hospital to make certain that the employee receives prompt medical treatment. Animal bites or eye injuries are always considered medical emergencies. The physician who provides emergency treatment is not considered the employee's initial choice of physician.

543.2 Continuing Medical Treatment

.21 Informing Employee. If more than first aid or emergency medical treatment is required, an employee will be fully informed of employee rights under FECA.

.22 General Procedures

.221 If non-emergency treatment of an injury or illness is required, the injured or ill employee may be treated by a physician of the employee's choice.

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.222 When an employee does not select a physician, the employee is referred to the USPS medical unit, if available, for diagnosis and initial treatment. Referral to the USPS medical unit cannot be made if it would cause harmful delay. The medical officer who provides treatment is not considered the employee's initial choice of physician, and the employee may select a physician at any time following treatment by the USPS medical unit.

.223 In all other instances, including cases in which the employee declines diagnosis and initial treatment by the medical unit, the employee must be referred to a U.S. Government medical facility or private physician or hospital, as provided by installation instructions. In nonemergency situations, a postal supervisor is not au-

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thorized to accompany the employee to a medical facility or physician's office.

.224 A change of the employee's initial choice of physician is permitted only with OWCP approval.

.23 Outside Treatment. If an employee does not elect to receive treatment at a USPS medical unit, that employee may select a physician or hospital within approximately 25 miles of home or worksite. The physician selected by an employee should be contacted by telephone by the control office/control point to determine if the physician is available and will accept the employee for treatment. If not, the employee must select another qualified physician or hospital.

543.3 Exclusive Medical Care

.31 Medical unit or other USPS personnel must not interfere with the medical care prescribed by the employee's attending physician. Contact with a physician or physician's staff should be limited to the medical condition of the employee or the employee's ability to return to full or limited duty.

.32 Form CA-17 is sent to the treating physician or hospital for completion only when it is necessary to determine the employee's medical condition or the employee's ability to return to full or limited duty.

.33 The medical officer may also advise the attending physician that the USPS medical unit can give supportive treatment under the direction of the attending physician. Such arrangements for treatment must be made with the attending physician and with the concurrence of the employee.

543.4 Review of Medical Treatment

.41 Questions concerning the duration or type of medical treatment must be referred to the medical officer for review.

.42 The medical officer must refer to the OWCP district medical director, on a case-by-case basis, recommendations regarding:

a. Refusal of the attending physician to permit the employee to accept therapy and other medical support at a USPS facility, if the USPS facility is adequately equipped and its use would be more convenient and expeditious.

b. Change of the attending physician.

c. Use of a medical consultant or specialist.

d. Achievement of maximum medical improvement.

e. Employee's fitness for full or limited duty.

.43 *The medical officer must furnish justification to OWCP for any recommendations made.*

.44 Any disagreement or delay regarding the recommendations or proposals made to the OWCP district medical director may be brought to the attention of the OWCP district deputy commissioner by the installation head.

.45 Each medical officer must maintain a list of occupationally injured or ill employees on the rolls of the OWCP and keep currently informed of the treatment being given and the prognosis for recovery by interim reports from the treating physician or hospital.

544 Required Reporting Procedures

544.1 Immediate Superior

.11 Immediately ensure appropriate medical care when an employee is injured by accident while in the performance of duty.

.12 Provide the employee a Form CA-1 or a Form CA-2.

.13 If the employee or the employee's representative is unable to complete the employee's portion of the CA-1 or 2 for any reason, such notice may be given by any person with knowledge of the injury on behalf of the injured employee. The supervisor completes the receipt attached to Form CA-1 or CA-2 and gives the receipt to the employee or the employee's representative.

.14 In case of a traumatic injury, advise the employee that, if the injury is disabling, the employee has the right:

a. To elect either the continuation of regular pay for up to 45 calendar days; or

b. To use annual or sick leave. If the use of sick or annual leave is elected, buy back privileges will not be granted; or

.15 Inform the employee whether continuation of regular pay will be controverted. (See 545.5.)

.16 Send the employee to the control office or the control point for completion of Forms CA-16 and CA-17.

.17 Investigate all reported job-related injuries and/or illnesses.

a. Complete the applicable portion of Form CA-1 or CA-2; and

b. Forward the completed form to the control office or control point which is responsible for mailing it to OWCP.

.18 Any postal official responsible for completing the immediate supervisor's report of injury is guilty of a misdemeanor if the official: (a) willfully fails, neglects, or refuses to make any reports to OWCP; (b) knowingly files a false report; (c) induces, compels, or directs an employee to forego filing a claim under the FECA; or (d) willfully retains any notice, report, claim or paper which is required to be filed under the FECA. Such an official may be subject to a fine up to $500 or imprisonment for up to one year, or both.

544.2 Employee

.21 Form CA-1

.211 An employee who suffers a disabling, job-related, traumatic injury, or any person acting on the

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employee's behalf, must provide a written report on Form CA-1 to the employee's official superior. Form CA-1 indicates whether the employee elects to receive:

a. Continuation of regular pay not to exceed 45 days, and compensation for wage loss if disability continues beyond 45 days; or

b. Sick and/or annual leave.

.212 Form CA-1 should be submitted within two working days, but not more than 30 days from the date on which the injury occurred, in order to be entitled to continuation of pay. If the form is not filed within 30 days, the employee may not receive continuation of pay, but compensation may be substituted for continuation of pay (unless employee elects sick and/or annual leave).

.22 Form CA-2. If the disability is attributed to an occupational disease or illness, Form CA-2 is submitted.

.23 Penalty for Perjury. Any employee or representative who knowingly makes a false statement on a claim for compensation is guilty of perjury and may be subject to a fine of not more than $2,000, or one year in prison, or both.

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545 Control Officer/Control Point

545.1 Responsibility

.11 The MSC manager or head of a major postal installation will establish a control office to handle injury compensation. See 541.2(1) for instructions on designating a control officer.

.12 At installations which do not have an injury compensation unit, or a USPS medical or health unit, the installation head designates an appropriate supervisor (either full time or collateral duty) as the control point individual responsible for the injury compensation program.

.13 Control officers ensure that control point personnel are properly trained to review cases. Under no circumstances may the submittal of reports or claim forms to OWCP district offices be delayed.

545.2 Authorizing Examination and/or Treatment

.21 Form CA-16. Form CA-16 is used for all traumatic injuries requiring medical attention. This form may be used for disease or illness only with the prior approval of OWCP.

.22 Source of Instructions. In cases of disease or illness, the control office/control point will contact the OWCP district office for instructions.

.23 Authorization for Medical Care. Injured employees are not permitted to issue an authorization for either examination or treatment on their own behalf. If an employee does not elect to be treated at a USPS medical unit, the physician selected by the employee should be contacted by telephone by the control office or control point to determine if the physician is available and will accept the employee for treatment. If the employee's chosen physician is unable to provide treatment, the employee selects another physician whom the control office/control point will contact by telephone to determine if the physician is available and will accept the employee for treatment.

.24 Emergency Treatment in Addition to First Aid. In most instances an injured employee has enough time to contact the immediate superior and receive either oral or written authorization to obtain emergency treatment from a physician of the employee's choice. If emergency treatment is essential and securing authorization would be impractical, an employee may obtain emergency treatment without such authorization. Control office/control points must issue Form CA-16 within 48 hours.

.25 Recurrence of Disability

.251 If an employee suffers a recurrence of disability from an injury for which OWCP had approved the initial claim, and the employee is again unable to work, the control office or control point promptly completes Form CA-2a.

.252 If the recurrence happens less than 6 months following the most recent medical treatment received by the employee, the control office or control point authorizes required medical care by use of Form CA-16.

.253 If the recurrence happens more than 6 months after most recent medical care, authorization for further medical care is obtained from the OWCP.

.254 If the recurrence happened 6 months or more after the employee returned to duty following the original injury, a statement from the employee must accompany Form CA-2a. The employee's statement must:

a. Describe the employee's duties upon return to work;

b. State whether the employee had any other injuries or illnesses;

c. Give a general description of the employee's physical condition during the intervening period; and

d. Explain why the employee believes the present condition is related to the original injury.

.255 The employee who suffers a recurrence of a job-related disability may elect to receive continuation of regular pay (if eligible) or charge the absence to sick or annual leave, or take leave without pay and file for injury compensation benefits from OWCP. Continuation of regular pay is available as an option only:

a. If the 45 calendar days were not all used during the initial period of disability, and *b.* If the recurrence is within 6 months of the date the employee first returned to work following the initial period of disability. If the recurrence occurs more than 6 months after the employee returned to work following the initial disability, regular pay may not be continued, even if some portion of the 45 days remains unused. In this case, the employee is entitled only to sick or annual leave and to OWCP compensation.

545.3 Time Limit

The control office/control point submits:

a. Completed Form CA-1 or CA-2 to the appropriate OWCP district office within 2 working days after it is received from the employee.

b. Any other information or documents bearing on the claim.

545.4 Exceptions

.41 Form CA-1 or CA-2 is completed in every injury case. However, completed forms are not sent to OWCP if:

a. The injury does not cause incapacity for work beyond the day or shift it occurred, and

b. It appears that the injury will not result in prolonged treatment, permanent disability, or serious disfigurement of the head, face, or neck, and

c. The injury has not resulted, or apparently will not result, in a charge for medical or other related expenses.

.42 If all 3 of the above conditions are met, the CA-1 or CA-2 must be filed in the injured employee's official personnel folder, instead of being sent to OWCP.

545.5 Controversion

.51 With Termination of Pay

On the basis of information submitted by the employee or secured through an independent investigation, the USPS may controvert a claim for compensation. In traumatic injury cases, an employee's continuation of pay should be terminated only if:

a. The disability is the result of an occupational disease or illness, as defined in 541.2. (The employee may apply for compensation, or take annual or sick leave, but is not entitled to continuation of regular pay for an occupational disease or illness under FECA.)

b. The injury occurred off USPS premises when the employee was not engaged in official duties.

c. The injury was caused by:

(*1*) The employee's willful misconduct; or

(*2*) The employee's intent to bring about injury or death to self or another person; or

(*3*) The employee's intoxication which was the proximate cause of the injury.

d. The first absence caused by the injury occurred 6 months or more after the injury.

e. The employee failed to make an initial report of the injury until after employment was terminated.

f. The injury was not reported on Form CA-1 within 30 days following the injury.

.52 Without Termination of Pay. In all other cases where controversion is proper, the control office/control point will controvert the claim. However, pay must be continued if continuation of pay is applicable and applied for unless the claim falls within one of the grounds for termination of pay listed in 545.51.

.53 Control Office Procedures. When a claim is controverted, the control office/control point will ensure that the CA-1 is properly completed and that the controversion package is adequately documented. Each case will be tailored to the facts. Form letters and repetitive formats will be avoided. All controversion packages will be transmitted to the OWCP district office by a cover letter with detailed information on the reasons for the controversion.

.54 Form CA-1 Instructions

.541 Before the controversion package is submitted, the CA-1 should be carefully reviewed for completeness and accuracy. Item 42 on the CA-1 should be clearly marked and a full explanation for the basis of the controversion provided.

.542 If additional information in support of the controversion is to be sent at a later date under a separate cover, this must be stated in the cover letter and in Item 42 on the CA-1 before the package is submitted to the OWCP district office.

.543 Form CA-1 must not be delayed pending the collection of data to support a controversion. The Form CA-1 is promptly sent to the OWCP office, with a notation on the CA-1 and a cover letter advising that the claim is being controverted and that information to support the controversion is forthcoming.

.544 Proper identification of controverted claims is essential to permit the OWCP offices to give these claims priority in processing and to avoid the possibility of substantial, erroneous payments of regular pay which would have to be recovered from the employee.

.55 Controversion Denied by OWCP. If a controversion is denied by OWCP, the control point may submit a copy of the CA-1 and all other relevant documents to the MSC E&LR director or counterpart, for review and any necessary resubmission, if warranted. Cases that are not resolved, to the satisfaction of field management, may be forwarded to the Regional Injury Compensation Program Administrator, with a recommendation for further action.

.56 45-Day Continuation of Pay. The employee's regular pay is continued for up to 45 calendar days unless:

a. The controversion has been upheld by OWCP and the installation head has been notified; or

b. The treating physician notifies the control office that the employee is no longer disabled.

545.6 Return to Work

.61 Interim Medical Reports. Form CA-17 is used by the control office/control point to obtain a medical report concerning an employee's duty status. Requests for supplementary Forms CA-17 should be forwarded only when necessary to obtain current medical information.

.62 Employee Refusal to Return to Work. If during a 45-day regular pay continuation period the attending physician indicates that the employee is able to return to work, including limited duty assignments, and the employee refuses to do so, the employee's pay is terminated and OWCP is notified immediately by Form CA-3.

.63 Overpayment Determination. In the event of an overpayment, the OWCP determines the period of absence from the job which resulted in the overpayment in the course of adjudication of the claim. The control office/control point and the employee are notified of the period of disability which is approved by OWCP.

.64 Limited Duty Capability

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Form CA-17 is used. This form:

a. Enables the USPS to provide the attending physician of an employee injured on duty with a brief summary of that employee's normal work duties; and

b. Provides a checklist of other duties to permit the attending physician to indicate to the USPS what types of duties an injured employee may safely perform, with limitations. The immediate supervisor completes Part A of Form CA-17 before it is issued for completion by the attending physician. Particular attention should be given to Item 7, *Description of Regular Work.*

545.7 Long-Term Disability

.71 Proper Forms

.711 If medical evidence shows disability resulting from a traumatic injury is expected to continue beyond 45 days and compensation is desired after the expiration of the 45-day period, a Form CA-7 is completed by the employee and the control office/control point and filed with the OWCP district office not more than 5 working days after the termination of the 45 days.

.712 If the disability is a result of an occupational disease or illness, a Form CA-4 is completed.

.713 Subsequent claims are made on a Form CA-8 in instances of either traumatic injury or occupational disease or illness.

.72 Waiting Period. The employee is advised that there is a waiting period of 3 calendar days before OWCP compensation begins. The 3-day waiting period may not be satisfied by using sick or annual leave. The employee must be in a nonpay status. This 3-day waiting period does not apply if the disability extends beyond 14 days.

Examples:

a. In the case of an occupational disease or illness, compensation is not payable for the first 3 days of disability, unless the disability extends beyond 14 days.

b. In the case of traumatic injury, the 3-day waiting period begins immediately after the end of the 45-day continuation of pay period. Again, the waiting period does not apply if the disability continues for more than 14 days after the expiration of the 45-day continuation of pay period.

.73 Employees' Rights. As stated in 544.14, an employee may elect to have regular pay continued for up to 45 days or to use annual leave or sick leave. The control office/control point ensures that the employee is informed of the following:

a. *Continuation of Pay.* A traumatically injured employee may request continuation of regular pay for the first 45 calendar days of disability. Such continued regular pay is subject to taxes and all other usual payroll deductions. If an employee elects continuation of regular pay and the claim for compensation is subsequently denied, the employee may treat the days for which regular pay continuation was received as sick or annual leave, if such leave is available. An employee may file a request for waiver of claim for erroneous payment of pay (See ELM 437).

b. *Sick or Annual Leave*

(*1*) The 45-day continuation of pay runs from the day of the injury or disability, and it is not extended by the use of annual or sick leave.

(*2*) Leave is limited to the amount that the employee has accrued.

(*3*) An employee who elects to take sick or annual leave during the 45-day period in which continuation of regular pay is available, is not entitled to buy back that leave with later compensation payments.

(*4*) Pay that is attributable to the leave period is subject to taxes and all other usual payroll deductions.

(*5*) An employee may use sick or annual leave after the 45-day regular pay continuation period expires, or during a period of disability due to an occupational illness. In that case, the employee is entitled to buy back the leave with compensation payments.

545.8 Third-Party Liability

.81 Purpose. This instructs control office and control point personnel on how to collect damages from a third party responsible for causing an injury to a postal employee receiving benefits under the Federal Employees' Compensation Act (FECA) 5 U.S.C. 8101-50, as a result of that injury.

.82 BACKGROUND

.821 The FECA provides that if the injury or death (which is compensable under the Act) is caused by a third party, the United States Department of Labor (DOL) may require an employee receiving benefits under FECA to:

a. Assign to the United States any right of action he may have to force the third party to pay damages or assign any right the employee may have to share in money received in satisfaction of a liability claim; or

b. Prosecute the action in his own name.

.822 Any employee who refuses to assign right of action to the United States or prosecute an action in his own name when required to do so by the Secretary of Labor, may be denied compensation by DOL.

.823 The Agreement between the Director, Office of Workers' Compensation Programs (OWCP), DOL, and the USPS provides that to more efficiently and effectively accomplish the stated purpose of the FECA, OWCP agrees that the Postal Service may administratively pursue collection of damages from the third party responsible for the injury sustained by a Postal Service employee in all cases of traumatic injury except:

a. Where the injury results in the death of the employee;

b. When the injury occurred outside of the United States or Canada;

c. When the third party is a common carrier;

d. When malpractice or product liability is involved; or

e. Where injuries are sustained by more than one employee in the same incident (group injuries).

.83 Definition and Use of Terms. The definitions in this section are applicable to 545.8 only and shall not be considered to change the terms of the Act, the regulations of the Department of Labor, or other sections of the ELM.

a. The *Act* and *FECA* mean the Federal Employees' Compensation Act, 5 U.S.C. 8101, *et seq.*

b. *Assignment* means a written agreement whereby the employee or beneficiary transfers his right to recover damages from a third party to the USPS and such offer is accepted by the USPS.

c. *Beneficiary* means an individual who is entitled to a benefit under the Act.

d. *Benefits* or *Compensation* means benefits or compensation and continuation of pay paid or payable because of loss of wages, ability to earn wages; money paid in the form of scheduled compensation, medical diagnostic and treatment services supplied pursuant to the Act; money paid because of death; and certain payments to individuals participating in an approved vocational rehabilitation program.

e. *Claim* means an assertion in writing of an individual's entitlement to benefits under or pursuant to the Act.

f. *Claimant* means an individual whose claim for entitlement to benefits under the Act has been filed.

g. *Continuation of Pay* or *COP* means salary paid to the employee by the Postal Service pursuant to 5 U.S.C. 8118.

h. *Control Officer* means the head of the control office and is (1) the injury compensation supervisor/specialist if an injury compensation unit is available and staffed; or (2) an appropriate designated supervisor if no injury compensation supervisor/specialist is available.

i. *Control Point Supervisor* means an individual designated by the installation head in those installations that do not have an injury compensation supervisor or specialist.

j. *Department* or *DOL* means the United States Department of Labor.

k. *Employee* means all employees of the United States Postal Service, or a beneficiary.

l. *Injury* or *Traumatic Injury* means a wound or other condition of the body caused by external force, including stress or strain. The injury must be identifiable as to time and place of occurrence and member or function of the body affected, and be caused by a specific event or incident or series of events, or incidents within a single day or work shift.

m. *Legal Liability* means a determination that a third party is responsible for the payment of money damages to an injured employee.

n. *Negligence* means the failure of a third party to act as an ordinary prudent person would act under the same or similar circumstances and such failure is the proximate cause of an injury to an employee.

o. *OWCP* means the Office of Workers' Compensation Programs, Employment Standards Administration, of the Department of Labor.

p. *Prosecute* means any action taken to recover damages from the third party.

q. *RICPA* means the Regional Injury Compensation Program Administrator of the USPS.

r. *Serious Injury* means a personal injury which results in death, dismemberment, significant disfigurement, a fracture, or permanent loss of use of a body organ, member function or system.

s. *Third Party* means a person or organization other than the United States and its agencies who is believed to be responsible for injury to a postal employee while in the performance of his employment.

t. *Tort* means the wrongful act committed by a third party which act is done intentionally or negligently and which causes injury to an employee.

.84 Responsibility. The MSC manager or head of a major postal installation will establish a control office to carry out the responsibilities outlined in these instructions. At installations which do not have an injury compensation unit, the installation head will designate an appropriate supervisor as the control point individual responsible for carrying out these instructions. Control officers must insure that control point personnel are properly trained to carry out the responsibility of making third party recoveries.

.85 Third-Party Recovery Action

.851 Upon receipt of form CA-1, *Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation,* the control officer or control point supervisor reviews the form to determine if a third party is involved in the injury to the employee and whether the third party could be responsible for the injury.

.852 Third-party cases for which a claim is filed on Form CA-2, *Federal Employee's Notice of Occupational Disease and Claim for Compensation* must be identified and forwarded to DOL. DOL will continue to be responsible for third-party recoveries in these cases. The control officer or control point supervisor monitors the progress of the DOL action and obtains periodic status reports until these cases are closed.

.853 Although a third-party recovery case can arise from many circumstances in which a third-party did, or failed to do, something which resulted in the injury or death of an employee, the most common circumstances are, but not limited to:

a. Automobile accidents.

b. Animal attacks.

c. Tripping, slipping, and falling on sidewalks, steps, and other portions of non-federal property.

d. Defective machinery, automobiles, and equipment.

e. Physical attacks and other assaults.

f. Defects in leased postal premises.

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.854 *Investigation*

a. When a possible third-party recovery case is identified, the control officer or control point supervisor should coordinate an investigation of the incident.

b. When possible, obtain a detailed, written statement from:

(*1*) The injured employee if the Form CA-1 is not sufficient to determine third-party liability, or otherwise inadequate.

(*2*) Any witness to the incident.

(*3*) Any other person who may be acquainted with the facts or is identified as having pertinent information.

c. The name, address and telephone number of the third-party.

d. A detailed description of the place where the incident occurred, and all the circumstances concerning the incident.

e. If an investigation of the incident was previously made by the local police, USPS Vehicle Services, USPS safety personnel, Inspection Service, or any other organization, obtain a copy of the reports and the investigative file.

f. Consult Handbook M-19, *Accident Investigation—Tort Claims,* for information and procedures regarding investigative techniques and guides.

.855 In all cases when it appears that a third-party recovery is a possibility, a completed Form 2562, *Injury Compensation Program Notice of Potential Third-Party Claim* (Exhibit 545.855), should be obtained from the injured employee. A copy of the completed form should be forwarded to the District Office, OWCP, with the employee's claim for benefits—or as soon as possible after receipt from the employee if the claim has already been forwarded. Do not delay the submission of the claim to OWCP, pending receipt of third-party information. When the DOL is responsible for making the third-party recovery (see 545.823), no action to recover should be taken by the control officer or supervisor.

.856 In all cases when DOL is responsible for making a recovery, the control officer or control point supervisor will monitor the progress of the Department of Labor's action and obtain periodic status reports until the case is closed. Any such cases which are closed without a payment from the third-party will be referred to the RICPA.

.857 When a third-party collection responsibility has been assumed by the Postal Service, forward copies of all letters issued, together with other pertinent third-party claim documents, to the District Office, OWCP. The control officer or control point supervisor should then proceed as follows when the employee is represented by an attorney:

If the answer to the question on Form 2562, *Does the employee or beneficiary(ies) intend to take action against the third party?* is Yes, and the Form 2562, or other information available, shows that the employee is represented by an attorney, forward to the employee's attorney:

(*1*) Sample letter A, *Notice to Attorney of Government's Lien* (Exhibit 545.857*a1*), with the papers and forms referred to in that letter,

(*2*) Sample letter B, *Request for Status and Transmittal of Information* (Exhibit 545.857*a2*).

b. If a response to sample letter A is not received within 90 days after mailing, contact the attorney representing the postal employee directly in an effort to obtain a status report on the progress of the case. Status reports from the postal employee's attorney should be obtained as frequently as is considered necessary by the control officer or control point supervisor. If no reply is received from the attorney within 90 days after any request for a status report has been made, send follow-up letter to the attorney. If there is no response after 15 days, contact the employee regarding status of case. If recovery still has not been made, either:

(*1*) send case to RICPA for further action, or:

(*2*) monitor progress if case is still in process of recovery.

c. Upon receipt of notification from the postal employee's attorney that the case has been terminated:

(*1*) By payment of damage to the employee: Obtain settlement sheet, Form 2556, *Statement of Recovery* (Exhibit 545.857*c*), and payment due the Postal Service. Verify the accuracy of Form 2556 and forward settlement sheet in accordance with section 545.873 of these procedures.

(*2*) Without payment of any damage to the Postal Service, the control officer or control point supervisor will verify the nature of termination and either close the file or attempt to obtain a voluntary assignment if case appears to have merit.

.858 Employee Not Represented by Attorney

a. If the answer to the question on the Form 2562, *Does the employee or beneficiary(ies)* intend to take action against the third-party? is Yes, and the Form 2562 or other information shows that the employee desires to pursue the recovery himself, and is not represented by an attorney, furnish the employee sample letter C, *Notice to Employee of Government's Lien* (Exhibit 545.858a), and mail sample letter D, *Notice to Third Party of Government's Lien* (Exhibit 545.858b), to the third party insurer.

b. At least every 60 days after the date sample letter C was given the employee, check with the employee to determine the status of the case.

c. If a recovery has not been made within six months after the accident, or if prior to that time there is information that the action on the claim has been terminated, contact the employee for status of recovery action. If he/she has decided not to pursue or has been unsuccessful in the recovery attempt, proceed in accordance with 545.859d of these procedures.

d. When a recovery statement (see Form 2557, *Employee's Recovery Statement* (Exhibit 545.858*d*)) is received from the employee, review it for accuracy, take the necessary action to correct any errors, and forward the recovery statement together with the payment, in accordance with 545.873 of these procedures.

.859 Employee Not Pursuing Third-Party Action

a. If the answer to the question on Form 2562, *Does the employee or beneficiary(ies) intend to take action against the third-party?* is NO, or the employee is undecided or it is unclear what action the employee contemplates, the control officer or control point supervisor will furnish the employee with sample letter E, *Request for Information from Employee and Notice of Government's Lien,* (Exhibit 545.859*a*) and Form 2559, *Third Party Claim—Information Request* (Exhibit 545.859b).

b. If Form 2559 is not received within 15 days, contact the employee directly or through the employee's supervisor to determine what action the employee intends to take against the third-party.

c. If the employee advises that he will seek recovery against the third-party, proceed in accordance with 545.857, or .858, as appropriate.

d. If the employee indicates that he will not seek recovery against the third party, or is unable to decide what action he will take, the control officer or control point supervisor should ask the employee whether he would agree to assign his claim against the third party to the Postal Service by signing Form 2577, *Assignment of Claim to the USPS.* If the employee declines to make the assignment, the control officer or control point supervisor should refrain from saying or doing anything to the employee which could be regarded as pressuring or coercing the employee in agreeing to the assignment. The control officer or control point supervisor should point out that the Postal Service is not ordering or directing the employee to either sue or assign the claim, but may advise the employee that:

(*1*) By assigning his claim to the Postal Service, the employee will enable the Postal Service to attempt to shift the financial liability for the employee's injury from the Postal Service to the true wrongdoer, i.e. the third party;

(*2*) The ultimate recovery which the employee will realize for his injury cannot possibly be reduced by his agreeing to the assignment. An employee is entitled to a minimum of 20% of the net recovery after the expense of the recovery (attorney's fees, property damage, and court costs only) have been deducted. In addition, any surplus amount realized in the third party action which exceeds the amount of the employee's compensation payments and the expense of realization or collection, will be paid to the employee.

(*3*) DOL is authorized to require an assignment of the claim and to terminate his compensation payments if he refuses to pursue or assign what appears to be a valid third party claim.

(*4*) If the employee continues to refuse to pursue or assign his claim, then the control officer or control point supervisor should refer the file to the RICPA. Use Form 2560 to transmit the file. No further action to obtain an assignment should be taken by the control officer or control supervisor after the file is referred.

e. Upon receipt of an assignment of the employee's claim on Form 2577, send sample letter F, *Notice of Assignment of Postal Employee's Claim, and Request for Settlement* (Exhibit 545.859*e*), to the third party, and his insurer, if known.

f. When a reply to sample letter F is received, the control officer or control point supervisor should proceed to attempt to negotiate a settlement of the government's and the employee's claim. (See 545.87, Settlement of Claims.)

g. Contact RICPA if it is felt that assistance is necessary.

.86 Release of Information

.861 All records, medical and other reports, statements of witnesses, and other papers relating to the injury or death of an employee or other person entitled to compensation or benefits under the Act are sensitive in nature, and no employee of the Postal Service shall disclose information from or pertaining to the records to any person except as directed in these instructions. Upon the employee's death, records lose much of their sensitivity, that is, the Privacy Act no longer applies to them. Release of records on deceased employees should be guided by the USPS release of information guidelines (Administrative Support Manual ASM 352).

.862 If an employee, or in the case of death such employee's beneficiary, or the authorized representative of an employee or beneficiary requests information from the Postal Service in connection with a third party recovery case, refer the request to the control officer or control point supervisor, who shall permit the requester to examine the records of the case.

.863 When the control officer or control point supervisor, based upon consultation with the medical officer, determines that release of medical reports directly to the employee clearly is not in the best interest of the employee, the control officer or control point supervisor should release the information to the employee's personal physician only upon receipt of written authorization from the employee.

.864 In honoring requests, the control officer or control point supervisor shall disclose only that information which is germane to the request and the third party action.

.865 Information requested for use in third party recovery cases by persons interested in third party action, other than the employee or other legal representative, may be released only upon written authorization of the employee, or of the authorized representative. Direct all such requests to the control officer or the control point supervisor.

.866 Any employee of the Postal Service who is served with a demand by federal or state courts, or other administrative bodies, for records or information relating to third party recovery matters shall promptly, and without awaiting appearance before the court or other authority, contact the RICPA for instructions concerning the response to the demand.

.87 Settlement of Claims

.871 Employee Pursuing Collection of Damages from Third Party. The Postal Service, with certain adjustments, is entitled to recover from the proceeds paid to an employee by a third party the amount of COP paid to the employee by the Postal Service and the compensation and medical and related expenses paid by DOL on behalf of the employee. Therefore, when information is received that a third party recovery is imminent, the control officer or control point supervisor will contact DOL for an up-to-date statement of all disbursements made by DOL and advise the employee or his attorney of those disbursements and the total COP paid by the Postal Service if settlement has not been made. If settlement has already been made, Form 2556 should be reviewed to see that the total disbursements made by DOL and the Postal Service have been accurately computed.

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.872 Employee Not Pursuing a Third-Party Recovery. When the postal employee has indicated that he does not wish to pursue a recovery from a third party and has been requested to and has signed Form 2577, *Assignment of Claim to the USPS*, the Postal Service with certain adjustments, is entitled to recover from the third party or his insurer, the amount of COP paid to the employee by the Postal Service, and the compensation and medical and related expenses paid by DOL on behalf of the employee. In addition, the Postal Service is entitled to collect on behalf of the employee those damages to which the employee may be entitled. Such damages may consist of payment for pain and suffering sustained by the employee, any damage to the employee's personal property and out-of-pocket expenses not covered by COP and FECA benefits. Upon recovery, the employee will be provided with a copy of the *Statement of Recovery* which indicates the employee's total entitlement. Further, the control officer or the control point supervisor should ensure that the OWCP district office is provided with copies of all documents pertaining to the recovery.

.873 Disbursement of Recovered Third Party Funds. When a settlement is made, the control officer or control point supervisor will make disbursement of the funds as follows utilizing cover letter (Exhibit 545.873a):

a. When the third party check includes continuation of pay (COP), Office of Workers' Compensation Program (OWCP) payments and the employee's share, send the check, cover letter, PS Form 2556 or 2557, as applicable, to the PDC in accordance with established procedures.

b. When the third party check includes only COP and OWCP payments (or COP only), follow the same procedure as *a.* above. In this case the cover letter should be annotated with "NA" in block 3, Net Amount Due Employee.

c. When the third party check includes OWCP payments and the employee's share, but no COP, deposit check to Postmaster's account and make disbursement by treasury checks or no-fee money orders to the employee and OWCP. Send copy of Form 2556 or 2557, as applicable, with checks.

d. When the third party check includes OWCP payments only, send check and Form 2556 or 2557, as applicable, directly to the OWCP unless the check is made payable to the Postal Service. If this is the case, deposit the check and issue a treasury check or no-fee money order to the OWCP.

.874 Settlement Verification. The control officer or control point supervisor will furnish the RICPA a copy of the Form 2556 or Form 2557 on all recoveries made.

.875 Control Point Supervisor Requirements. All efforts on the part of control point supervisors concerning these instructions, to include case closure, settlement, or assistance must be coordinated with the assigned control office.

.876 Recovery Assistance. When the control officer desires any advice on matters relating to the settlement of a third party recovery case, or other legal matters, contact the appropriate RICPA.

.877 Delegation of Authority. The following are authorized to accept voluntary assignments of employee's claim against third parties and sign releases on behalf of the Postal Service when requested by the third party or insurance carrier.

a. General Manager, Injury Compensation Division
b. RICPA
c. Control Officer
d. Control Point Supervisor
e. Regional Counsel
f. Assistant General Counsel, Claims Division

545.9 Extended Leave Cases

.91 General. An employee who suffers a job-related injury or illness for which continuation of pay or OWCP compensation was received should be granted

LWOP for an initial period of up to 1 year from the date OWCP compensation began.

.92 Extensions. If the employee is unable to return to work at the end of the 1 year period on LWOP, the LWOP may be extended for successive additional periods of up to 6 months. Extensions are granted only if it appears that the employee is likely to return to work within the period of the extension.

.93 Separations. If it is not likely that the employee will be able to return to work at the end of one year of LWOP or during the authorized extended period, the employee may be separated. Before any employee who is on the rolls of the OWCP can be separated, the postal official must submit a comprehensive report to the General Manager, Employee Relations (Region), with appropriate recommendations and retain the employee on the rolls of the Postal Service pending a decision.

.94 Deciding Appropriate Action. In considering the action to take in matters involving extended leave, the installation head sends Form 2573, *Request for OWCP Claim Status*, in duplicate, to the appropriate OWCP district office; and, upon receiving a completed Form 2573 from OWCP, does one of the following:

a. Extends LWOP for an additional period, at the end of which an additional determination must be made;

b. Authorizes a fitness-for-duty examination by a medical officer as provided in 547.31, .32, and .33 if OWCP does not respond within a maximum of 60 days or if OWCP's response does not explain the situation; or

c. Request permission to terminate LWOP as required in .93; and

d. Terminates LWOP after receiving permission from the General Manager, Employee Relations (Region) as follows:

(*1*) If the employee has 5 or more years of creditable civilian service, inform the employee of retirement rights. Allow the employee 14 calendar days to file a retirement application under the Civil Service Retirement Act.

(*2*) If the employee does not file a retirement application within the 14 day period, terminate LWOP and take action to separate the employee as described in 365 and 568.

(*3*) If the employee has less than 5 years creditable civilian service, terminate LWOP and take action to separate the employee as described in 365.

546 Reemployment of Employees Injured On Duty

546.1 Law

.11 General. The USPS has legal responsibility to employees with job-related disabilities under 5 U.S.C. 8151 and the Office of Personnel Management's (OPM) regulations, as outlined below.

.12 Disability Fully Overcome Within 1 Year

.121 Obligation. When the injury or disability is fully overcome within one year after the commencement of compensation payments from OWCP, or after compensable disability recurs, the USPS must give an employee the right to resume employment in the former or equivalent position.

.122 Rights and Benefits. Upon reemployment, all rights and benefits which an employee would have had or acquired in the former position, had there been no injury or disability, must be restored.

.13 Disability Fully Overcome More Than 1 Year

.131 Obligation. When the injury or disability is fully overcome more than one year after compensation began, the USPS must give an employee priority consideration for reemployment into the former position or an equivalent one.

.132 Reemployment List. The names of all former employees who fully recover from their compensable disabilities more than one year after compensation begins must be entered on a reemployment list in two groups. *Group one* will include all such former employees who are entitled to 10 point veteran preference. *Group two* will include all other such former employees. Persons in *group one* will be considered for employment before persons in *group two*, and persons in *group two* will be considered before other sources of recruitment, such as transfers from other agencies, reinstatements, or appointments from hiring registers.

.133 Rights and Benefits. The same as 546.122.

.14 Disability Partially Overcome

.141 Current Employees. When an employee has partially overcome a compensable disability, the USPS must make every effort toward assigning the employee to limited duty consistent with the employee's medically defined work limitation tolerances (see 546.32). In assigning such limited duty, the USPS should minimize any adverse or disruptive impact on the employee. The following considerations must be made in effecting such limited duty assignments:

a. To the extent that there is adequate work available within the employee's work limitation tolerances; within the employee's craft; in the work facility to which the employee is regularly assigned; and during the hours when the employee regularly works; that work shall constitute the limited duty to which the employee is assigned.

b. If adequate duties are not available within the employee's work limitation tolerances in the craft and work facility to which the employee is regularly assigned, within the employee's regular hours of duty, other work may be assigned within that facility.

c. If adequate work is not available at the facility within the employee's regular hours of duty, work outside the employee's regular schedule may be assigned as limited duty. However, all reasonable efforts shall be made to assign the employee to limited duty within the employee's craft and to keep the hours of limited duty as close as possible to the employee's regular schedule.

d. An employee may be assigned limited duty outside of the work facility to which the employee is normally assigned only if there is not adequate work available within the employee's work limitation tolerances at the employee's facility. In such instances, every effort will be made to assign the employee to work within the employee's craft, within the employee's regular schedule, and as near as possible to the regular work facility to which normally assigned.

.142 ***Former Employees.*** When a former employee has partially recovered from a compensable injury or disability, the USPS must make every effort toward reemployment consistent with medically defined work limitation tolerances. Such an employee may be returned to any position for which qualified, including a lower grade position than that held when compensation began.

.15 Employee Appeal Rights. An employee who believes the proper consideration for reemployment was not received may appeal to the Merit Systems Protection Board, under 5 CFR, 353.

546.2 Collective Bargaining Agreements

Reemployment under this section will be in compliance with applicable collective bargaining agreements. Individuals so reemployed will receive all appropriate rights and protection under the applicable collective bargaining agreement.

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.21 Contractual Considerations

.211 ***Scope.*** Collective bargaining agreement provisions for filling job vacancies and promotions, and procedures relating to retreat rights due to reassignment, will be complied with before an offer of employment is made to a former postal employee on the OWCP rolls for more than 1 year.

.212 ***Reemployment.*** A former employee will be offered reemployment in a residual vacancy (a vacancy which has been posted for bid or application and for which there are no successful bidders or applicants), or may work as an unassigned regular or as a part-time flexible. Regional Directors, Employee and Labor Relations (APMG, Employee Relations, for Headquarters and Administrative Support Facilities (ASFs) may waive minimum qualification requirements (including written examinations) in individual cases for former employees injured on duty who are being considered for reemployment when there is evidence (including that submitted by the medical officer) that the employee can be expected to perform satisfactorily in the position within ninety days after assignment.

.22 Types of Appointments

.221 Former career employees will be reemployed as career full-time or part-time employees.

.222 Former substitute rural carriers will be reemployed as substitute rural carriers or in any other position for which they qualify.

.223 Former casual and temporary employees will be reemployed as casual or temporary employees. Upon satisfactory demonstration of ability to meet job requirements during two 90-day casual appointments or one 180-day temporary appointment, the employee's status may be noncompetitively converted to a career appointment (NOA 501).

546.3 OWCP Referrals

.31 General. OWCP will make referrals of current and former postal employees who may be candidates for reemployment.

.32 Work Limitation Tolerances. The individual's physician of record, or other physician selected by the individual or OWCP, will furnish OWCP with a definitive medical summary, clearly documenting the medical limitations that will have to be accommodated. The OWCP District Medical Director evaluates the work limitation tolerances, submitted by the physician of record, and upon concurrence, refers them to the USPS for consideration.

.33 USPS Medical Review

.321 Reemployment Physical Examination

a. The medical officer will evaluate fully all medical records referred to the USPS from the OWCP district offices.

b. A complete physical examination, paid for by the USPS, will be required by the appointing officer. The result of the physical examination will be documented on Form 2485, *Certificate of Medical Examination.*

c. The medical officer will make a statement of concurrence with the OWCP documented medical limitations, or further restrict the former employee's work limit tolerances. The medical officer can in no way liberalize the medical limitations tendered by the OWCP district offices.

.322 Special Considerations

a. An individual referred for reemployment consideration by OWCP may have some degree of concurrent disability, not caused by or related to the original job injury or disability. The medical officer should examine for any concurrent medical condition that might prevent the individual from performing the duties of the position for which the individual is being considered.

b. The medical officer will carefully evaluate all concurrent disabilities and include their potential impact in the recommendation for reemployment to the appointing official.

c. All former employees, now permanently, partially disabled, have some type of residual handicap. The medical officer, conducting the physical examination, will be responsible for assigning the correct handicap code as defined in Handbook P-11, *Personnel Operations,* Chapter 6.

546.4 Restoration Rights

.41 OPM Regulations. OPM has responsibility for the implementing regulations of 5 USC 8151. These regulations are codified in 5 CFR Part 353. 5 USC 8151(a) provides that an individual, injured or disabled on duty, who resumes employment with the USPS is to be credited with the time during which compensation was received for purposes of certain rights and benefits based upon length of service.

.42 Rights and Benefits upon Partial Recovery

.421 Seniority. Individuals, reemployed into bargaining unit positions will be credited with seniority in accordance with the collective bargaining agreement covering the position to which reemployed.

.422 Probationary Period. Reemployed individuals who have completed their probationary periods, or would have completed their probationary periods but for their compensable injuries, will not be required to serve a new probationary period.

.423 Leave Credit. Former employees who were eligible to accrue leave under ELM 510 will be credited with the total time compensation was received from OWCP for purposes of computing leave rate accrual upon reemployment.

.424 Retirement. Former employees who were covered by the Civil Service Retirement Act (see ELM 560) will be credited with the time spent on OWCP compensation in computing retirement credit.

.425 Salary Determination. The following salary restoration criteria must be met (*Note:* The term "Grade/Step," as used below, means "Grade/Salary" for individuals in a non-step salary schedule):

a. Reemployment to the Former Grade/Step. These individuals reemployed into a position with the same grade/step as held at the time of injury or disability will receive the current salary for that grade/step from the appropriate salary schedule.

b. Reemployment to a Higher Grade. Those individuals reemployed to a position with a grade higher than that of the position held at the time of injury or disability will be placed in the higher grade at the current salary for the grade/step held at the time of injury or disability. If that salary is between steps in the higher grade, the individual's salary will be increased to the next higher step.

c. Reemployment to a Lower Grade/Step.

(1) Salary Below Maximum of Lower Grade. The individual will be placed in any higher step in the lower grade which is less than one full step above the current salary for the grade/step of the position held at the time of injury or disability.

(2) Salary Above Maximum of Lower Grade. In those cases where the current salary for the grade/step held at the time of injury or disability exceeds the maximum salary of the lower grade position, the employee will be afforded a saved rate at the higher grade/step salary. These saved rate provisions apply for an indefinite period and are subject to the rules of the salary schedule to which assigned.

d. Reemployment to a Position in a Different Salary Schedule. When an individual is reemployed to a position in a salary schedule different from the schedule under which paid at the time of injury or disability, once reemployed, the individual will be treated under the rules applicable to the salary schedule to which reemployed:

(1) The individual will be reemployed at the grade appropriate for the position to which reemployed.

(2) The individual will be placed in any higher step in the new grade which is less than one full step above the current salary for the grade/step of the position held at the time of injury or disability.

(3) If reemployment is to a nonstep schedule, the individual will be placed at a salary equal to the current salary for the grade/step of the position held at the time of injury or disability.

(4) If the current salary for the grade/step held at the time of injury or disability exceeds the maximum salary of the new grade, the individual will be given a saved rate. These saved rate provisions apply for an indefinite period and are subject to the rules of the salary schedule to which assigned.

e. Former Position Under Different Salary Schedule. Where the position held at the time of injury or disability is no longer under the same salary schedule, the current salary for the former grade/step will be determined by:

(1) Regional Compensation Division, for field, district, and regional positions.

(2) Office of Compensation, Headquarters, for Headquarters and Headquarters-related positions.

f. Step Increases. Upon reemployment, permanently, partially disabled individuals begin a new waiting period for step increases.

.43 Rights and Benefits Upon Full Recovery. See 546.122.

546.5 Retirement Considerations

.51 Status. Pursuant to the Civil Service Retirement Act, a former employee who applied for and received Civil Service disability retirement status will cease to be an annuitant upon reemployment and restoration of that individual's wage earning capacity.

.52 Reinstatement of Eligiblity

.521 If an annuitant, reemployed under the procedures in this section, is later found unable to successfully perform in the new position due to the original compensable injury or disability, and is again separated, the employee will be entitled to the restoration of disability retirement status under the Civil Service Retirement Act.

.522 If an employee becomes disabled for the position due to a new injury or disability after entry into that position, the employee would have a right to apply for a new Civil Service disability retirement status.

.53 Refunded Retirement Deductions. A former employee who withdrew retirement deductions based on previous employment, may redeposit the amount refunded, plus interest, after reemployment to a position from which retirement deductions are withheld.

.54 Notification. Upon reemployment of a disability annuitant (or in advance, if possible), the appointing official must notify the Office of Personnel Management, Compensation Group, Room 3305, Attention: Annuitant

Services Division, Washington, DC 20415. The notification must include the individual's name, social security number, date of birth, Civil Service Annuity claim number (CSA-Civil Service Account), date of reemployment, Form 2485, Certificate of Medical Examination and whether retirement deductions will be made from the salary for the position to which reemployed.

546.6 Relocation Considerations

.61 Scope. In some cases, former employees receiving OWCP compensation may have relocated to other geographic areas. Every effort must be made to reemploy these individuals within their current area of residence by treating them as if they had been employed at that office at the time of injury. Any offer to reemploy in a different location will be considered only after all reasonable attempts have been made to rehire within the area of the former employee's present domicile.

.62 Expense. Any relocation and travel expenses will be the responsibility of the former employee. However, under certain mitigating circumstances the SAPMG for E&LR, or the SAPMG's designee, may authorize relocation and travel expenses consistent with the provisions of Handbook M-9, *Travel.*

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546.7 Reemployment Procedures

.71 Offer of Appointment

.711 Evaluation. Upon receipt and evaluation of the OWCP referral containing documented medical limitations, and evaluation of the medical officer's recommendations, the appointing official will determine if a reemployment offer can be made.

.712 Interview. During the preemployment interview, the appointing officer will ensure that the individual receives the following information:

a. In-depth analysis of medical limitations and the individual's responsibility to work within the prescribed work limitation tolerances.

b. If applicable the status of injury compensation and disability retirement benefits and future eligibility.

c. A full explanation of all restoration rights and benefits (see 546.4).

d. Full particulars regarding the position, including title, duties, grade, salary, location of work assignment, and all other information required in a preemployment interview. (See Handbook P-11, 264.8 and 265.)

e. Instructions for completion and submission of any required employment forms.

.713 Appeal

a. Those employees who fully recover in less than one year from the date on which OWCP compensation began, may appeal to the Merit Systems Protection Board (MSPB) if they believe a proposed offer of reemployment does not meet the requirements of Office of Personnel Management regulations 5 CFR Part 353. The letter of appeal must be submitted within 20 days after the date of the offer or 20 days after the date of reemployment, whichever is later.

b. Those employees or former employees whose full recovery extends beyond one year, or whose partial recovery falls either within or beyond one year of compensation, may appeal to the Merit Systems Protection Board only when they have requested restoration through formal application to the installation head and restoration has been refused them. An appeal to the denial of restoration must be filed with MSPB within 20 days from the day the denial letter is received. Upon restoration, however, the employees are not given the right to appeal the nature of the restoration.

.72 Refusal of Reemployment Offer. When a former employee refuses an offer of suitable employment within the OWCP defined medical limitations, the appointing officer must do the following:

a. Offer the individual an opportunity to sign a declination of employment.

b. Advise the individual that the effect of such refusal may result in the termination or reduction of compensation benefits by the Department of Labor.

c. Notify the OWCP district office by telephone of the declination and reasons given.

d. Within 2 working days, forward a full written summary of the former employee's interview, including the signed declination, and medical evaluations or other pertinent information to the OWCP district office. OWCP has the responsibility to notify the Retirement and Insurance Division, Office of Personnel Management, when disability retirement status is to be evaluated.

.73 Refusal to Reemploy. The appointing official may not be able to accommodate the former employee for medical reasons or other considerations. If the former employee will not be reemployed, the appointing officer must:

a. Notify the employee in writing of that fact, with a copy to the OWCP; and

b. Include a paragraph informing the individual of the right to appeal to the Merit Systems Protection Board.

.74 Processing Personnel Actions. The reemployment of former employees injured or disabled on duty requires uniform information on Form 50-B, *Request for Personnel Action (Processing Copy for New Hires Only),* before forwarding to the Employee and Labor Relations Information Center. (See 612.5 of Handbook P-11.)

547 Return to Duty

547.1 Therapy Obligations

The installation head must ensure that an employee reports for scheduled therapy treatment. The employee must be advised that failure to keep appointments with a physician or hospital is a form of absenteeism. Control office/control point personnel will report failures to keep appointments to the OWCP district office.

547.2 Medical Reports

.21 Progress reports received from the attending physician may show the employee is capable of some work during convalescence or after medical treatment has been completed.

.22 If not, this information is requested by the control office/control point from the attending physician or the OWCP district office by use of Form CA-17.

.23 If the attending physician submits a medical report, Form CA-17, indicating that the employee is medically capable of performing some of the normal duties for a limited number of hours, or other work of a different nature than the employee's former assignment, the installation head must make every reasonable effort to place the employee in an approriate assignment.

547.3 Fitness-For-Duty Determination

.31 **Determining Fitness.** The fact that an injured or ill employee is scheduled for a series of treatments or appointments with a physician or hospital does not, by itself, establish that the employee is not fit-for-duty in the interim. Control personnel will recommend, upon medical justification, to the installation head that any employee being treated by a physician or hospital be required to report to a USPS medical unit (or contract equivalent) for a fitness-for-duty examination. Only an installation head is authorized to approve a fitness-for duty examination.

.32 **Examination Report.** This physical examination may include the parts of the anatomy being treated, provided the examination in no way disturbs or interferes with the treatment regimen. The results of this examination will be brought to the attention of the OWCP district office for consideration.

.33 **Physician Report Questioned.** If the medical officer questions the medical procedures and/or determination of the employee's attending physician, no administrative action may be taken to change the employee's compensation or employment status until the medical issue is settled.

.34 **Resolving Determination.** The following procedures apply only to fitness-for-duty determinations incident to an on-the-job injury or illness. Fitness-for-duty determinations for other purposes are not covered by this instruction.

a. The physician or hospital must, for each visit of the employee, make a professional statement, using Form CA-17, showing the employee either:

(1) Fit-for-duty; or

(2) Fit for limited duty, and the work tolerance limitations due to the injury; or

(3) Not fit for duty with an expected return-to-duty date.

b. If the physician or hospital is unable to predict an employee's fitness for duty on either a short-term or long-term basis, the control office/control point supervisor may request information from the OWCP by sending Form 2573, Request—OWCP Claim Status, in duplicate, to the OWCP district office. If OWCP does not respond within a maximum of 60 days, or if the OWCP response does not explain the situation, a fitness-for-duty examination may be recommended to the installation head as provided in 547.31, .32, and .33. However, a fitness-for-duty examination can be initiated at any time to determine the duty status of the injured employee.

c. If the results of the fitness-for-duty examination disagree with the findings of the attending physician, the matter, along with justification for the USPS position, is referred by the control office/control point supervisor to the OWCP Deputy Commissioner for resolution.

d. A fitness-for-duty determination is not limited to the employee's regular duties, but should be based on whether the employing installation has any temporary alternative duties available which the employee may safely perform.

U.S. POSTAL SERVICE
INJURY COMPENSATION PROGRAM
NOTICE OF POTENTIAL THIRD PARTY CLAIM

SEE INSTRUCTIONS ON REVERSE

1. DATE

2. NAME OF EMPLOYEE

3. HOME PHONE *(Include Area Code)*

4. HOME ADDRESS *(Including ZIP Code)*

5. TYPE OF INJURY

6. DATE AND LOCATION OF INJURY

7. OFFICE OF EMPLOYMENT

8. EMPLOYEE'S TITLE

9. CONTACT POINT AT EMPLOYING OFFICE *(Name and Phone)*

10. EMPLOYEE'S SOCIAL SECURITY NO.

11. PREPARED BY *(Printed Name and Signature)*

12. OWCP FILE NO.

13. BRIEF DESCRIPTION OF INCIDENT

Public Library, Newark, N. J.

14. DOES THE EMPLOYEE OR BENEFICIARY(IES) INTEND TO TAKE ACTION AGAINST THE THIRD PARTY? *(If "No," specify why not)* ☐ YES ☐ NO

15. THIRD PARTY

a. NAME

b. ADDRESS

c. NAME AND ADDRESS OF INSURANCE COMPANY

16. NAME AND ADDRESS OF ATTENDING PHYSICIAN

17. LAW ENFORCEMENT AGENCY NOTIFIED

18. NAME AND ADDRESS OF EMPLOYEE'S LEGAL COUNSEL

19. EMPLOYEE OR REPRESENTATIVE

a. DATE SIGNED

b. PRINTED NAME

c. SIGNATURE

PS Form 2562
Mar. 1977

☆ U.S. GOVERNMENT PRINTING OFFICE: 1977—760-088/1939

Exhibit 545.855—Form 2562,
Injury Compensation Program Notice of Potential Third-Party Claim

Insert Exhibit 545.857a1—Sample Letter A

UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

File Number:
Employee:
Date of Injury:

We have been advised that you have been retained to represent the above-named employee with respect to the third-party damage claim arising from the above-referenced injury. Copies of the reports contained in our file are enclosed for your information. If continuation of pay by the employing agency and/or OWCP disbursements have been made in this case, you will also find a statement showing the disbursements made to date. Also enclosed is Form 2556, Statement of Recovery, for your use. Upon request, we will furnish you an updated statement of disbursements, or copies of additional reports.

If you have any questions concerning the third party aspects of this case, or the obligations and responsibilities imposed by Sections 8131 and 8132 of Title 5, United States Code, please contact________________________ at___________________.
Name Telephone No.

Sincerely,

cc: District Office, OWCP

Exhibit 545.857a1—Sample Letter A,
Notice to Attorney of Government's Lien

Insert Exhibit 545.857a2—Sample Letter B

UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

Public Library, Newark, N. J.

File Number:
Employee:
Date of Injury:

☐ We will appreciate a report concerning the present status of this third-party damage claim. If possible, advise the date that you expect the matter to be concluded.

☐ We are enclosing copies of additional reports from our file which may be of assistance to you.

☐ There is attached a statement of the disbursements made to the employee.

Sincerely,

cc: District Office, OWCP

**Exhibit 545.857a2—Sample Letter B,
Request for Status and Transmittal of Information**

Exhibit 545.857b—Form 2560

U.S. POSTAL SERVICE

REFERRAL OF THIRD PARTY MATERIAL

TO:	FROM:

EMPLOYEE'S NAME	CASE NO.	DATE OF SUBMISSION

A. CA Forms (Front and Back)

☐ CA-1 ☐ CA-2 ☐ CA-3 ☐ CA-4 ☐ CA-5 ☐ CA-7

☐ Other *(Identify)*

B. Witness Statements and Accident Reports

☐ Reverse of CA-1 or CA-2 ☐ Other *(Identify)*

C. Medical Reports

☐ CA-16 (Reverse) ☐ CA-20 ☐ CA-20a

☐ Other *(Identify)*

D. Correspondence From:

☐ Attorney dated ____________ ☐ Claimant dated ____________

☐ Other *(Identify)*

E. Award of Compensation

☐ CA-1048 ☐ CA-1049 ☐ CA-180 ☐ CA-181

☐ Other *(Identify)*

F. Settlement

☐ Settlement has been made in this case. Attached is a copy of:

☐ Claimant's recovery statement ☐ Recovery Letter I

G. Claimant returned to work on ____________.

PS Form 2560
Feb. 1981

**Exhibit 545.857b—Form 2560,
Referral of Third Party Material**

U.S. POSTAL SERVICE

THIRD PARTY STATEMENT OF RECOVERY

(See instructions on reverse)

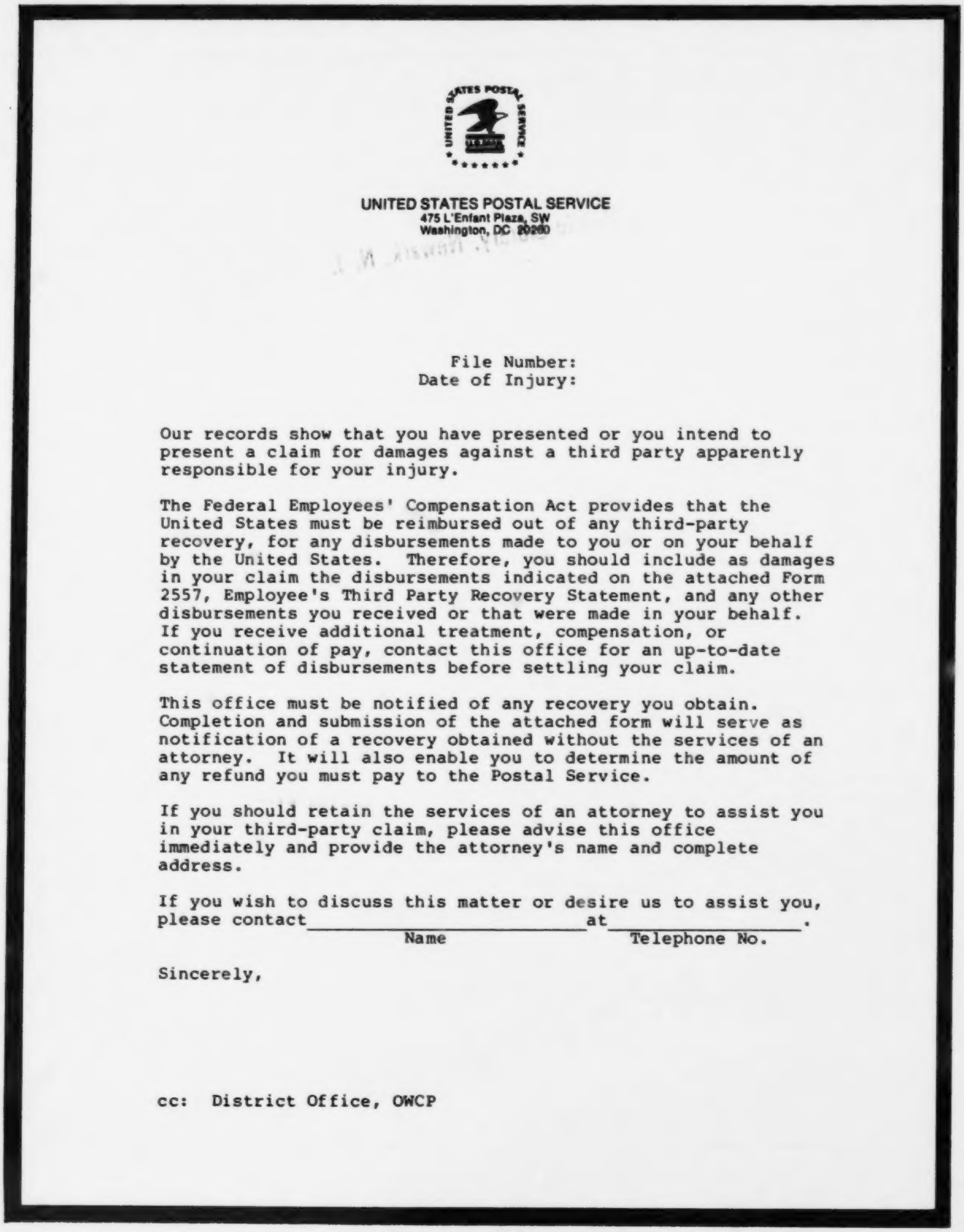
CLAIMANT	DATE OF INJURY/DEATH	MSC.	FILE NO. FINANCE NO.

Public Library, Newark, N. J.

1. Gross Recovery $ ______
2. Less Property Damage ______
3. Balance ______
4. Less Attorney's Fee (*Fee is ______ % of line 3*) ______
5. Balance ______
6. Less Court Costs (*must be itemized*) ______
7. Balance (*Adjusted Gross Recovery*) ______
8. Less 1/5 (20% of line 7) ______
9. Balance ______
10. Continuation of Pay (COP) ______
11. Balance ______
12. Less Payment to Public Health Service (*or other Federal medical facility*) ______
13. Balance ______
14. Less Medical Expenses Paid by the Claimant (*must be itemized*) ______
15. Balance ______
16. OWCP Disbursements (*including compensation and medical but excluding COP*) or line 15 above, whichever is less $ ______ ______
17. Less Government Allowance for Attorney's Fee (*retained by claimant*) ______
18. Net OWCP Refund ______
19. Plus Continuation of Pay (*line 10*) ______
20. Total Refund ______
21. Surplus (*line 15 less line 16*) ______

PS Form **2556**
Feb. 1981

Exhibit 545.857c—Form 2556, Statement of Recovery



UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

File Number:
Date of Injury:

Our records show that you have presented or you intend to present a claim for damages against a third party apparently responsible for your injury.

The Federal Employees' Compensation Act provides that the United States must be reimbursed out of any third-party recovery, for any disbursements made to you or on your behalf by the United States. Therefore, you should include as damages in your claim the disbursements indicated on the attached Form 2557, Employee's Third Party Recovery Statement, and any other disbursements you received or that were made in your behalf. If you receive additional treatment, compensation, or continuation of pay, contact this office for an up-to-date statement of disbursements before settling your claim.

This office must be notified of any recovery you obtain. Completion and submission of the attached form will serve as notification of a recovery obtained without the services of an attorney. It will also enable you to determine the amount of any refund you must pay to the Postal Service.

If you should retain the services of an attorney to assist you in your third-party claim, please advise this office immediately and provide the attorney's name and complete address.

If you wish to discuss this matter or desire us to assist you, please contact ____________________ at ______________.
Name Telephone No.

Sincerely,

cc: District Office, OWCP

**Exhibit 545.858a—Sample Letter C,
Notice to Employee of Government's Lien**

Public Library, Newark, N. J.

UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

File Number:
Employee:
Date of Injury:
Your Insured:
Policy Number:

We have been informed that the postal employee named above has made a claim for damages as a result of an incident involving you (your insured) that occurred on the date shown.

The injury occurred in the performance of Federal employment and comes under the Federal Employees' Compensation Act (5 U.S.C. 8101 et seq.). Section 8132 of Title 5 of the United States Code requires that the Government must be reimbursed for payments made to or on behalf of a beneficiary out of the recovery made from a third party. This section also states, "No court, insurer, attorney, or other person shall pay or distribute to the beneficiary or his designee the proceeds of such suit or settlement without first satisfying or assuring satisfaction of the interest of the United States."

Because of the Government's financial interest in the outcome of this case, please request a statement from this office of the Government's disbursements before distributing any proceeds in settlement of this case.

Sincerely,

cc: District Office, OWCP

**Exhibit 545.858b—Sample Letter D,
Notice to Third Party of Government's Lien**

U.S. POSTAL SERVICE **EMPLOYEE'S THIRD PARTY RECOVERY STATEMENT**	FILE NO.

CLAIMANT	DATE OF INJURY/DEATH	MSC	FINANCE NO.

WHEN A THIRD PARTY SETTLEMENT IS MADE WITHOUT AN ATTORNEY

1. Contact this office for the amount of disbursements.
2. If you were examined or treated at a Federal medical facility, contact that facility for the value of its service. If service was rendered by the U.S. Public Health Service, the Regional Counsel of the Department of Health and Human Services should be contacted.
3. Complete the recovery statement below and return it to this office. Enclose a check or money order for the amount appearing in item 5, below, made payable to "United States Postal Service."

The law provides that the United States must be reimbursed out of any third party recovery for any disbursements made by the Government. The term "disbursement" includes compensation, medical bills and transportation expenses. In addition the Postal Service is entitled to reimbursement for all continuation of pay (COP) payments made to you under section 8118 of the FECA. If no disbursements of COP were made, no refund is required. If there were disbursements requiring a refund, you are still entitled to a minimum amount of the recovery irrespective of any liens of the Government (see item 2c below).

1. Total recovery .... $ ________
2. Less:
   a. Personal property damage .... $ ________
   b. Balance (item 1 less item 2a) .... $ ________
   c. Minimum guarantee (20 percent of item 2b—to be retained by you) .... $ ________
   d. Continuation of pay .... $ ________
   e. Medical expenses paid by you for which you have not received reimbursement from OWCP or an insurance carrier (attach itemization) .... $ ________
   f. Adjusted balance (item 2b less items c, d, and e) .... $ ________
3. OWCP disbursements or item 2f, whichever is less. .... $ ________ $ ________
4. Plus continuation of pay (item 2d) .... $ ________
5. Total refund due U.S. Postal Service .... $ ________
6. Surplus (Line 2f less item 3) .... $ ________

Following submission of this statement, you will be advised further concerning your compensation status.

DATE OF JUDGMENT OR RELEASE	SIGNATURE	DATE

The Federal Employee's Compensation Act, as amended (5 USC 8101, et seq.) is administered by the Office of Workers' Compensation Program of the U.S. Department of Labor. In accordance with this responsibility, the office collects and maintains personal information on claimants and their immediate families. The information will be used to determine eligibility for and the amount of benefits payable under the Act. The Postal Service uses the information in handling matters relating, directly or indirectly, to the subject matter of the claim in accordance with the provisions of 20 CFR 10. In addition, this information may be disclosed to an appropriate law enforcement agency for investigative or prosecutive purposes, to a congressional office at your request, to OMB for review of private relief legislation, to a labor organization as required by the NLRA, and where pertinent, in a legal proceeding to which the Postal Service is a party. Failure to provide the information requested may delay the adjudication process, or result in an unfavorable decision or a reduced level of benefits, (however, disclosure of the social security number is voluntary and will not cause such delays; its only purposes are to enable the Postal Service to account for program costs and to verify the dollar amount of payments due the Department of Labor).

PS Form 2557
Feb. 1981

(Copy to Employer)

Exhibit 545.858d—Form 2557,
Employee's Recovery Statement

Public Library, Newark, N. J.

UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

File Number:
Date of Injury:

Our records show that on the above date you sustained an injury under circumstances which may place liability for damages upon a party other than the United States.

Under the provisions of Section 8131 of Title 5, United States Code, the Secretary of Labor can and will require a workers' compensation beneficiary to prosecute an action for damages in his/her own name when injury or death occurs under circumstances which indicate legal liability to pay damages on a party other than the Government. When damages are recovered from such a party, the beneficiary must, out of the damages recovered, reimburse the United States for any payments made to the beneficiary or on the beneficiary's behalf. Nevertheless, in all cases you will be entitled to a minimum of 20% of the net recovery.

For our records, a statement is required from you as to whether you have presented a claim for damages as a result of this injury against anyone other than the Postal Service or the Office of Workers' Compensation Programs. It is requested that you answer the questions on the attached Form 2559, Third Party Claim-Information Request, and promptly return it to this office.

If you have initiated a third-party action, you should contact us for a statement of any COP and OWCP disbursements made to you or on your behalf before you make a final settlement. These disbursements must be repaid from any recovery you make from the third party (the person or persons responsible for the injury).

If you wish to discuss this matter or desire us to assist you, please contact ______________________ at ____________________.
Name Telephone No.

Sincerely,

cc: District Office, OWCP

Exhibit 545.859a—Sample Letter E,
Request for Information from Employee and Notice of Government's Lien

U.S. POSTAL SERVICE

THIRD PARTY CLAIM—INFORMATION REQUEST

Section 8131 of Title 5, United States Code, provides that when damages are recovered the United States shall be reimbursed for payments it made on account of the injury.

1. Have you presented a claim or instituted suit for damages against any person or persons apparently responsible for your injury? ☐YES ☐NO *(If yes, give the third party's name and address and the name and address of the insurance carrier, if known.)*

THIRD PARTY'S NAME AND ADDRESS	INSURANCE CARRIER'S NAME AND ADDRESS

2. Have you retained an attorney with regard to a possible action against any person or persons apparently responsible for your injury? ☐YES ☐NO *(If yes, give the attorney's name and address.)*

3. If you have not filed a claim for damages, state your reasons, in full detail, for not doing so.

4. Have damages been recovered? ☐YES ☐NO *(If yes, please furnish the following information:)*

a. Total amount recovered . . . . $__________

b. Personal property damage, if any . . . . $__________

c. Medical expenses paid by you personally *(Do not include those paid or reimbursed by OWCP or an insurance carrier). (Attach itemization.)* . . . . $__________

d. Attorney's fee, if any . . . . $__________

DATE OF JUDGMENT OR RELEASE	5. SIGNATURE	DATE

The Federal Employee's Compensation Act, as amended (5 USC 8101, et seq.) is administered by the Office of Workers' Compensation Program of the U.S. Department of Labor. In accordance with this responsibility, the office collects and maintains personal information on claimants and their immediate families. The information will be used to determine eligibility for and the amount of benefits payable under the Act. The Postal Service uses the information in handling matters relating, directly or indirectly, to the subject matter of the claim in accordance with the provisions of 20 CFR 10. In addition, this information may be disclosed to an appropriate law enforcement agency for investigative or prosecutive purposes, to a congressional office at your request, to OMB for review of private relief legislation, to a labor organization as required by the NLRA, and where pertinent, in a legal proceeding to which the Postal Service is a party. Failure to provide the information requested may delay the adjudication process, or result in an unfavorable decision or a reduced level of benefits, (however, disclosure of the social security number is voluntary and will not cause such delays; its only purposes are to enable the Postal Service to account for program costs and to verify the dollar amount of payments due the Department of Labor).

PS Form 2559
Feb. 1981

Exhibit 545.859b—Form 2559, Third Party Claim—Information Request

U.S. POSTAL SERVICE

ASSIGNMENT OF CLAIM TO THE USPS

As a result of my applying for and receiving benefits under the provisions of the Federal Employees' Compensation Act (5 U.S.C. 8101-50), and because I do not wish to prosecute an action in my own name to recover damages, I (name)______________________________, of (address)______________________________, City of ______________________________, County of ______________________________, State of ______________________________, hereby voluntarily assign to the United States Postal Service all of my right, title and interest in any claim, demand, or cause of action which I may have against (name of third party)______________________________, or any other person, as a result of an injury I sustained on (date)______________________________, at (location)______________________________, while in the performance of my duties as an employee of the United States Postal Service.

I understand that in the event of recovery of damages by the United States Postal Service under this assignment, I am entitled to one-fifth of the net amount of recovery after the expenses thereof have been deducted and to any surplus remaining as provided by Section 8131 of the Federal Employees' Compensation Act.

I understand that I have the right to pursue an action to recover damages by myself or by an attorney of my own choice, but I hereby am assigning that right to the United States Postal Service. Upon acceptance of this assignment, the United States Postal Service shall have full and complete authority to take whatever action on this claim it considers appropriate, and may institute legal action, settle or compromise the claim or any suit, or decline to institute suit, or to take any other action.

I hereby authorize the United States Postal Service to furnish all records, medical and other reports, statements made by myself and other papers relating to my injury to the parties against whom claim is made, their representatives, and insurance companies for the purpose of effectuating a settlement of the assigned claim.

IN WITNESS WHEREOF, I have signed this assignment this______ day of ______________________________, 19____.

____
(Signature)

Pursuant to the authority granted by 39 C.F.R. 224.2(b) (1) (i) and other Postal Regulations, I hereby accept the above assignment.

Dated ______________________________

____
(Signature)

____
(Title)

Public Library, Newark, N. J.

PS Form 2577
Feb. 1981

Exhibit 545.859d—Form 2577,
Assignment of Claim to the USPS

UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

RE: Accident on __________
(Date)

Dear __________________:

On ____________________, a postal employee,
(Date)

______________________________, was injured as a
(Name)

result of ______________________________
(Describe incident)

____

____

Pursuant to the provisions of the Federal Employees' Compensation Act, our employee has filed for benefits and has assigned (his)(her) personal injury claim to the Postal Service; a copy of that assignment, Form 2577, Assignment of Claim to USPS, is attached.

We request that you, your insurance carrier, or your attorney contact this office to discuss settlement of this matter.

Sincerely,

____
(Signature)

____
(Title)

____
(Telephone Number)

Attachment
cc: DOL

Exhibit 545.859e—Sample Letter F
Notice of Assignment of Postal Employee's Claim, and Request for Settlement

UNITED STATES POSTAL SERVICE
475 L'Enfant Plaza, SW
Washington, DC 20260

(DATE)

SUBJECT: Recovery Disbursements--Third Party Settlement

TO: Disbursing Officer
(Applicable Postal Data Center)

The enclosed check/money order in the amount of $______ represents settlement of a third party claim for:

Name:

SSN:

OWCP Case No.:

Public Library, Newark, N. J.

These funds are forwarded for disposition (see attached Form 2556 or 2557 for amount of total recovery).

Disbursements are to be made as follows:

1. Credit COP Account No. 52918 $ ________
2. Net amount due OWCP $ ________
   Send check to:
   U. S. Department of Labor
   (applicable district office)
3. Net amount due employee $ ________
   Send check to:
   (Employee's name)
   c/o Injury Compensation Office

(signed) ______________________________
Injury Compensation Supervisor/Specialist

Credit recovery to MSC Finance No. __________

Exhibit 545.873a—Sample Letter G

Recovery Disbursements—Third Party Settlement

blank page

550 Unemployment Compensation

551 Overview

551.1 Legal Guidelines

.11 Administration. The Unemployment Compensation for Federal Employees Program (UCFE) is administered by the states under separate agreements with the U.S. Secretary of Labor. Under these agreements, the states are agents of the United States and take, adjust, pay, or deny claims for unemployment compensation. Based on wage and separation information supplied by the Postal Service, the state agency determines under its state employment security law the postal employee's entitlement to unemployment compensation.

.12 Liability. Benefit payments are made to former postal employees by the states under the agreements between the states and the U.S. Department of Labor. The Postal Service then reimburses the states through the Department of Labor.

.13 Illegal Claims. Federal law provides criminal penalties for anyone who knowingly makes a false statement or representation of a material fact, or knowingly fails to disclose a material fact, to obtain or increase for self or for any other individual unemployment compensation benefits for federal employees.

551.2 Qualification Factors. Requirements for unemployment compensation benefits vary from state to state in accordance with each state's employment security law. However, each state law requires that a claimant:

a. Be unemployed or be employed less than full-time as defined by the state employment security law, with earnings less than an amount specified in the state law.

b. Register for work and file an unemployment compensation claim at a local state employment security office.

c. Have worked a specified amount of time or have earned a specified amount of wages, or both, within a certain period.

d. Be able to work.

e. Be available for work.

f. Be actively seeking work.

g. Report periodically to the local state employment security office.

551.3 Disqualification Factors. Disqualification provisions vary from state to state. In the majority of states, employment security laws provide for a period of total disqualification or for a penalty period of temporary disqualification for certain types of separations. A former postal employee is not disqualified if the separation was an involuntary termination of employment for other than misconduct or if the separation was a voluntary termination or resignation based on good cause. The most common reasons for disqualification are:

a. The claimant was discharged for misconduct.

b. The claimant quit his job voluntarily without good cause.

c. The claimant refused a suitable job without good cause.

551.4 Information to State Employment Security Agencies

.41 Information Required. The Postal Service furnishes state employment security agencies certain salary and separation information concerning claimants who are or have been employed by the USPS. This information is processed and returned to the state agency by the PDCs within 4 workdays after receipt of the request. The information includes:

a. Periods of Postal Service employment.

b. Amount of remuneration for service.

c. Amount of lump-sum terminal leave payments and periods of time for which the lump-sum payment was made.

d. Reason(s) for separation.

.42 Privacy Act Requirements

.421 Authority to Disclose. Release of wage and separation information to a state employment security agency can be made without written authorization from the former Postal Service employee.

.422 Accountability of Disclosure. To meet the Privacy Act disclosure accounting requirements, the PDCs which receive or return completed UCFE forms from or to state employment security agencies, retain a copy of those forms for 5 years. Installation heads and USPS state coordinators who directly respond to a state agency's request for wage and separation information insure that a copy of the released information is forwarded to their respective PDC to meet the 5 year retention period. The USPS state coordinator or installation head retains a copy for 1 year.

552 Responsibilities

552.1 Headquarters and Headquarters-Related Units

.11 Functional Administration

The functional and administrative responsibility for the development, implementation, and control of the national USPS Unemployment Compensation Program is assigned to the Manager, Benefits and Services Branch, Compensation Services Division, Office of Compensation, Employee and Labor Relations Group.

.12 Daily Administration

.121 Control. The administration of the unemployment compensation program for Headquarters units and

Headquarters-Related units is assigned to the region and state (USPS state coordinator, see 552.3) in which these units are physically located. The personnel functions of these units are responsible for: (a) the timely and accurate completion of Forms 50, *Request for Personnel Action*, when initiating separation actions and (b) the expeditious submission of Form 50 to the Regional E&LR Information Center for processing.

.122 Form 50 Instructions

a. Enter the three-digit unemployment compensation code(s) that most accurately describe(s) what the USPS believes to be the reason(s) the employee was separated.

b. Enter any additional information pertaining to the reason(s) for separation into the remarks section.

c. When the employee's reason(s) for separation differ from the Postal Service's reason(s), enter Code 542 on Form 50. This code means that a difference in separation reason(s) do exist and will be furnished upon request.

552.2 Regions

.21 Regional Compensation Division. Regional responsibility for administering the unemployment compensation program is assigned to the regional unemployment compensation representative, Compensation Division, Employee and Labor Relations Department (see Exhibit 552.21). The Regional Compensation Division:

a. Coordinates the activities of the USPS state coordinators.

b. Participates in the orientation and training of designated employees in unemployment compensation policy and procedures.

c. Distributes information and reports to Headquarters and USPS state coordinators.

d. Coordinates with the Regional Labor Counsel in appealing unemployment benefit claims at final appeal level.

e. Acts as liaison with the Department of Labor's Regional Unemployment Compensation Specialists.

.22 Regional Labor Counsel. The Regional Labor Counsel:

a. Assumes an active role in hearings before the state referees involving significant or complex legal issues.

b. Prepares appeals to state courts.

c. Assists USPS state coordinators within their respective regions in interpreting legal guidelines pertaining to unemployment compensation.

d. Assists USPS state coordinators in determining what information is subject to the Privacy Act requirements.

.23 Regional Counsel. The Regional Counsel assists USPS state coordinators in determining what information is subject to the Privacy Act requirements.

552.3 Sectional Centers

.31 Administration. One sectional center within each state has been designated to coordinate the unemployment compensation activities for all Postal Service installations in that state (see Exhibit 552.31). The functional responsibility for the state program administration is assigned to the E&LR, sectional center director. This director selects 1 employee position for program administration responsibility.

.32 Responsibilities. The designated sectional center:

a. Administers USPS policy on unemployment compensation within their respective state or jurisdiction.

b. Establishes a communication channel with the state employment security agency and becomes familiar with the state unemployment compensation policies, procedures and laws.

c. Reviews appropriate forms, correspondence, and claim determinations to establish that each unemployment compensation claim filed by a present or ex-postal employee is justified and that the information provided by the claimant is valid.

d. Initiates appeals on claims determined to be unjustified.

e. Insures that the referees adjudicating appeals are provided with all appropriate and necessary information whether the appeal is initiated by the USPS or the claimant.

f. Notifies appropriate offices to prepare material necessary for appeals.

g. Attends unemployment compensation appeal hearings conducted by state referees or arranges for such representation by the post office in which the claimant was or is employed.

h. Refers recommendations for final appeal cases to the Regional Compensation Division along with appropriate supporting information.

i. Contacts the appropriate postal installation upon receipt of Form 6803 to ascertain the reason(s) for separation or a non-pay status of a claimant, when the PDC cannot supply this information.

j. Monitors the preparation of separation forms and information provided by PDCs and identifies areas where incomplete or inaccurate information could be generating unjustified unemployment compensation claims and subsequent payment.

k. Provides the PDCs with required information in order to resolve problems concerning individual employees.

l. Maintains files (1 year) for all UCFE and USPS forms relating to unemployment compensation (see 551.422).

m. Maintains copies of all itemized listings received from regional headquarters for 2 years after receipt.

n. Serves as liaison for Headquarters in dealing with state employment security agencies in matters relating to the quarterly unemployment compensation billings.

552.4 Postmasters and Installation Heads

.41 Completion of Form 50

.411 Insure the accurate and timely completion of Forms 50 when initiating separation actions.

.412 Submit Forms 50 to the Regional E&LR Information Center as expeditiously as possible for processing.

.413 Enter the 3 digit unemployment compensation code(s) that most accurately describe(s) what the USPS believes to be the reason(s) the employee was separated on Form 50.

.414 Enter in the remarks section of Form 50 any additional information pertaining to the reason(s) for separation. In those instances when the employee's reason(s) for separation differ from the Postal Service's reason(s), the standard remarks message (Standard Code 542) is also entered on Form 50. This standard remark states that a difference in separation reason(s) does exist and will be furnished upon request.

.42 Cooperation with Postal and State Authorities

.421 Provide full cooperation to USPS state coordinators when supplemental information is required.

.422 Cooperate with USPS state coordinator requests for witnesses to appear before state appeal hearings to testify about the reason(s) a former employee was separated.

.423 Give direct responses to state employment security agency requests for additional separation information (Form ES-934, see 553.22).

552.5 Regional E&LR Information Center. Process Forms 50 as soon as possible after receipt, thus enabling the separation information to be incorporated into the automated ES-931 system. In those cases in which additional separation information is included in the *remarks* section of Form 50, incorporate the information in the unemployment compensation code remarks message.

552.6 Postal Data Centers

.61 Initial Response

.611 Complete Form 6803 (see 553.14) in response to state agency requests for wage and separation information (Form ES-931), within 4 working days after receipt of the request.

.612 Retain a copy of each Form 6803 submitted to state agencies (Privacy Act accounting requirements) and distribute a copy of Form 6803 to the appropriate USPS state coordinator.

.613 If separation or wage information is unavailable at the PDC, forward Forms 6803 (and Forms ES-931) to the appropriate USPS state coordinator requesting that Forms 6803 be completed and returned to the state agency.

.614 Complete Form 239 (see 553.13) if Form 6803 cannot be completed and returned to the state agency within the prescribed 4 workday time-limit.

.62 Additional Information. Respond to state agency requests for additional information on Form ES-934 and verify ES-931 on Form ES-936 within four workdays after receipt. (See 553.22 and 553.23.)

Region	Address	Telephone
Central	433 W. Van Buren Street Main PO Building Chicago, IL 60699	8-886-3344
Eastern	1845 Walnut Street P. O. Box 8601 Philadelphia, PA 19101	8-597-0786
Northeast	Northeast Regional Headquarters 1633 Broadway (at 50th Street) New York, NY 10098	8-649-8349
Southern	Headquarters, Southern Region U. S. Postal Service Memphis, TN 38166	8-222-2603
Western	U. S. Postal Service 850 Cherry Avenue San Bruno, CA 94099	8-470-9319

Exhibit 552.21—Regional Unemployment Compensation Representatives

State	Sectional Center Address	Telephone
Alabama	2256 E. South Blvd. Montgomery, AL 36111	8-534-7405
Alaska	Main Post Office Anchorage, AK 99502	8-399-0150 (907) 274-7633
Arizona	1441 E. Buckeye Road Phoenix, AZ 85026	8-261-3128
Arkansas	5th & Arch Streets Little Rock, AR 72201	8-740-6124
California	390 Main Street, Room 718A San Francisco, CA 94105	8-556-6223
Colorado	Main Post Office Denver, CO 80202	8-327-4170
Connecticut	141 Weston Street Hartford, CT 06101	8-244-2110
Delaware	Main Post Office Wilmington, DE 19899	8-487-6271
District of Columbia (Washington, D.C.)	Main Post Office N. Capital & Mass. Ave. NE Washington, DC 20066	8-523-2085
Florida	2800 S. Adams Street Tallahassee, FL 32301	8-946-4272
Georgia	77 Forsyth Street Atlanta, GA 30304	8-242-5201
Hawaii	Main Post Office Honolulu, HI 96813	8-556-0220 (808) 423-1388
Idaho	Main Post Office Boise, ID 83707	8-554-1454
Illinois	Main Post Office, Room 304 433 W. Van Buren Street Chicago, IL 60607	8-886-3092
Indiana	Main Post Office 125 W. South Street Indianapolis, IN 46206	8-331-6813
Iowa	Main Post Office Des Moines, IA 50318	8-862-4327
Kansas	P.O. Box 2902 Shawnee Mission, KS 66201	8-758-1284
Kentucky	Box 3111, M.P.O. Louisville, KY 40232	8-352-6266
Louisiana	Main Post Office Baton Rouge, LA 70821	8-687-0292
Maine	81 Manley Road Auburn, ME 04210	(207) 784-0317
Maryland	Main Post Office 900 East Fayette Street Baltimore, MD 21233	8-922-4876
Massachusetts	J. W. McCormick Federal Building/P.O. Square Boston, MA 02109	8-223-7802
Michigan	Main Post Office 1401 W. Fort Street, Rm. 201 Detroit, MI 48216	8-226-4394
Minnesota	Main Post Office Room 421 Minneapolis, MN 55401	8-725-2406

Exhibit 552.31 (p. 1)—Unemployment Compensation State Coordinators

State	Sectional Center Address	Telephone
Mississippi	245 E. Capital Jackson, MS 39205	8-490-4420
Missouri	Main Post Office 1720 Market Street, Room 307 St. Louis, MO 53155	8-279-5374
Montana	Main Post Office 801 South 26th Billings, MT 59101	8-585-6657
Nebraska	1124 Pacific Street Omaha, NE 68108	8-864-3807
Nevada	1001 Circus Circus Drive Las Vegas, NE 89114	8-598-6621
New Hampshire	955 Goffs Falls Road Manchester, NH 03103	8-834-7794
New Jersey		
1. Northeast Region	U. S. Postal Service Clifton, NJ 07015	(201) 472-7900
2. Eastern Region	680 State High 130 Trenton, NJ 08650	8-483-3039
New Mexico	Main Post Office Albuquerque, NM 87101	8-474-2383
New York		
1. Northeast Region	33rd St. & Eighth Avenue New York, NY 10001	8-660-7148
2. Eastern Region	General Mail Facility Syracuse, NY 13220	8-950-3432
North Carolina	310 Newbern Avenue Raleigh, NC 27611	8-672-4260
North Dakota	Main Post Office Fargo, ND 58102	8-783-5250
Ohio	Main Post Office Columbus, OH 43216	8-943-7354
Oklahoma	320 SW 5th Street Oklahoma City, OK 73125	8-736-4376
Oregon	Main Post Office P.O. Box 4428 Portland, OR 97208	8-423-3545
Pennsylvania	Main Post Office 7th & Grant Street Pittsburgh, PA 15219	8-722-4526
Puerto Rico (Carribean)	Main Post Office PO Box G-3367 San Juan, PR 00936	(202) 967-1221
Rhode Island	26 Corliss Street Providence, RI 02904	8-838-2255
South Carolina	1601 Assembly Street Columbia, SC 29201	8-677-5236
South Dakota	Main Post Office Rapid City, SD 57701	8-782-1265
Tennessee	901 Broadway Nashville, TN 37202	8-852-5342
Texas	300 E. 9th Street Austin, TX 78710	8-734-5902

Exhibit 552.31 (p. 2)—Unemployment Compensation State Coordinators

State	Sectional Center Address	Telephone
Utah	1760 West 2100 South, Room 110 Salt Lake City, UT 84119	8-588-5740
Vermont	Peal St. & Elmwood Avenue Burlington, VT 05401	8-832-6384
Virginia	Main Post Office Brook Rd & School Street Richmond, VA 23232	8-925-2810
Virgin Islands	Main Post Office PO Box G-3367 San Juan, PR 00936	(202) 967-1221
Washington	Main Post Office P. O. Box 9000 Seattle, WA 98109	8-399-1444
West Virginia	Main Post Office Washington & Dickerson St. Charleston. WV 25301	8-924-1491 X-245
Wisconsin	Greater WI District, USPS 788 N. Jefferson St. Milwaukee, WI 53299	8-362-1554
Wyoming	2120 Capitol Avenue Cheyenne, WY 82001	8-328-2121

Exhibit 552.31 (p. 3)—Unemployment Compensation State Coordinators

553 Explanation of Forms and Procedures

553.1 USPS Forms and Procedures

.11 Form 50, Request for Personnel Action. Personnel Offices:

.111 Complete Forms 50 in an accurate and timely manner when separating an employee.

.112 Enter the 3 digit unemployment compensation code that most accurately describes what the USPS believes to be the reason(s) that the employee was separated is entered in the appropriate block on Form 50.

.113 Insure that all additional information relating to the reason(s) for separation be incorporated into the remarks section of Form 50. [In those instances when the employee's reason(s) for separation differ from the Postal Service's reason(s), enter the standard remarks message (Standard Code 542) on Form 50.] This standard remark states that a difference in separation reason(s) do exist and will be furnished upon request.

.114 State the fact of the issuance of SF 8, *Notice to Federal Employees about Unemployment Compensation* in the remarks section of Form 50.

.12 SF 8, Notice to Federal Employees About Unemployment Compensation

.121 SF 8 explains an employee's eligibility for unemployment compensation and describes the steps to be taken in filing a claim. Personnel offices complete SF 8 by entering the employee's name, social security number, and the address of the employee's PDC.

.122 SF 8 is issued promptly to the employee by the separating personnel office so that they do not lose unemployment compensation benefits to which they may be entitled. The issuance of SF 8 to an individual whose work or tours of duty are on an "on-call" or intermittent basis is issued an SF 8 only the first time in each calendar year that they are placed in a non-pay status. However, completed SF 8 is issued to an employee each time they:

a. Separate from the USPS for any reason.

b. Transfer to another federal agency or to a postal installation serviced by another PDC.

c. Are (or will be) placed in a non-pay status for 7 or more consecutive days.

.123 Form 50 indicates that SF 8 was issued on the date of separation. SF 8 is issued on the employee's last workday.

.13 Form 239, Preliminary Certification of Employee Eligibility for Unemployment Compensation

Form 239 serves as a preliminary certification by the PDCs that a claimant is or was an employee of the USPS. This form letter is utilized only when Form 6803 cannot be processed and returned to the state agency within the prescribed 4 workday period and when it is known that a claimant actually is or was employed by the USPS. This form indicates that the Postal Service is an interested party pending receipt of the Form 6803 by the state agency. Examples of such cases include employees who are:

a. Still active, but working less than full-time.

b. On a LWOP status.

.14 Form 6803, Wage and Separation Information (ES-931)

.141 Completion

- Form 6803 is completed by the PDCs in response to a state agency's request for wage and separation information (Form ES-931, see 553.21).
- Wage and separation information is extracted from the automated ES-931 system and entered on Form 6803.
- 2 copies of Form 6803 are attached to the Form ES-931 and returned to the state agency within 4 workdays after receipt of the request.
- The PDC forwards 1 copy of Form 6803 to the appropriate USPS state coordinator and retains 1 copy for Privacy Act accounting requirements (see 551.422).

.142 Incomplete Information. In some instances, a Form 50 has not been processed by the Regional E&LR Information Centers (see 553.13), which indicates that the separation information has not been entered into the automated ES-931 System. In such circumstances, the PDC immediately forwards Form 6803 (and Forms 931), with the wage portion completed, to the appropriate USPS state coordinator, requesting that the separation portion of Form 6803 be completed. Upon completion by the USPS state coordinator, 2 copies of Form 6803 are attached to Form ES-931 and returned to the state agency. Copies of Forms 6803 and ES-931 are forwarded to the PDC and a copy of Form 6803 is retained by the USPS state coordinator. The same control and processing of Form 6803 are used when the automated ES-931 system fails to complete wage and separation information.

.143 Use of Form 239. If the 4 workday time-limit cannot be met, the PDC immediately notifies the state agency (utilizing Form 239, see 553.13) about the reason(s) for the delay and furnishes the date by which the requested information is forwarded.

.144 Erroneous Findings. If PDCs ascertain at any time within 1 year after it has returned a completed Form 6803 (Form ES-931) to a state agency that any of its findings were erroneous, promptly correct the error and forward corrected findings to the appropriate state agency.

553.2 State Agency Forms and Procedures

.21 Form ES-931, Request for Wage and Separation Information

.211 When a former USPS employee (or an employee who works less than full-time as defined in the state employment security law and with earnings less than an amount specified in the state law) applies for unemployment compensation at a state employment security office, the state agency sends Form ES-931 to the PDC (see 552.6) indicated on the claimant's SF 8.

.212 The PDC responds to the state agency by extracting the requested wage and separation information from the Automated ES-931 system on Form 6803 (see 553.14).

.22 Form ES-934, Request For Additional Information

.221 Reason For ES-934. If PDCs provide inadequate data on Form 6803, state agencies request additional information on Form ES-934. If Form ES-934 cannot be processed within the 4 workday time period, PDCs or separating installations immediately notify the State agency when they can expect to receive completed Form ES-934.

.222 Request For Wage Information. The PDC completes the form and returns it directly to the state agency within 4 workdays after receipt. A copy of Form ES-934 is sent to the respective USPS state coordinator by the state agency. The PDC retains a copy of the completed Form ES-934 for Privacy Act accounting requirements.

.223 Request For Separation Information. The state agency sends Form ES-934 directly to the employee's separating installation. The installation completes the form and returns it to the state agency within 4 workdays after receipt of the request. A copy of Form ES-934 is sent to the appropriate USPS state coordinator by the state agency. A copy of Form ES-934 is retained by the postal installation and 1 copy is forwarded to the appropriate PDC for Privacy Act accounting requirements.

.224 Request For Wage and Separation Information

- The state agency sends Form ES-934 to the PDC which inserts the requested wage information and forwards the form to the separating installation.
- The postal installation inserts the requested separation information and returns the form directly to the state agency within 4 workdays after receipt. A copy of Form ES-934 is sent to the appropriate USPS state coordinator by the state agency.
- A copy of Form ES-934 is returned to the PDC for Privacy Act accounting requirements and 1 copy is retained by the postal installation.

.23 Form ES-936, Verification Of ES-931 (Form 6803)

- PDCs are requested by state agencies to verify a sampling of Forms 6803 completed by the PDCs. Request for sampling verification of these forms is made semi-annually on Form ES-936.
- The Form ES-936 shows the name of the claimant, social security number, payroll account number (if available), and the date that Form 6803 was requested.
- Form ES-936 is completed, when possible, by a person other than the one who prepared the related Form 6803. If the verification is made by the same person, the Form ES-936 is reviewed by an authorized certifying officer.
- Forms ES-936 are completed and returned to the requesting state agency within 4 workdays after receipt of the request.

554 Appeals

554.1 State Law Requirements

.11 State employment security laws provide (a) for administrative appeals at 2 levels in state agency proceedings and (b) for appeals to state courts. Appeals may be initiated by the claimant or by the USPS.

.12 The state agency's notice of determination of a claimant's benefit rights includes (a) the determination and the basis for it, and (b) information concerning appeal rights and the time within which an appeal may be filed.

554.2 Initial Level Appeals By Claimants. All claimants, including former probationary employees, have the right to request additional information (see 553.22), for clarification of USPS findings or correct errors and omissions in their records. If a claimant is not satisfied with a state agency's determination, the claimant has the right to appeal the determination. Such appeals received for postal managers are referred to their respective USPS state coordinators (see 554.414).

554.3 Initial Level Appeals By The Postal Service

.31 Cause to Appeal. If the USPS believes that a state agency's determination in awarding unemployment compensation is incorrect, the USPS may appeal the determination under the applicable state employment security law.

.32 Initiation of Appeal

.321 The USPS state coordinator files an appeal whenever:

a. The state agency appears to have misinterpreted or disregarded the USPS's findings.

b. The USPS believes the determination is not in accordance with the provisions of the state employment security law.

.322 Regional Compensation Division Notified. When a USPS state coordinator initiates an appeal action which requires legal or administrative assistance, the employee notifies the regional unemployment compensation representative.

554.4 Postal Service Participation In Appeals

.41 Representation

.411 Preparation for Appeal. The USPS state coordinator:

a. Insures that the Postal Service is represented at state unemployment compensation appeal hearings (Representation should include USPS employee(s) with first-hand knowledge of the case) and

b. Insures that all documented evidence which supports the USPS's position is submitted.

.412 As A Witness. A postal representative with first-hand knowledge of the case in question who appears before a state appeal hearing as a witness on behalf of the USPS provides evidence concerning the facts which support the USPS findings. Evidence provided at state appeal hearings may be in the form of oral testimony or written documentation. (For sources of information to be used as evidence, see 554.43).

.413 As An Appellant. When the USPS initiates an appeal against a state agency's determination (see 554.31), the USPS state coordinator insures the presence of a postal representative at the state appeal hearing. The postal representative is an individual who has first-hand knowledge of the facts in the appeal case. The representative offers oral testimony or written documentation as argument in support of the USPS findings. (For sources of information to be used as evidence, see 554.43).

.414 As An Appellee. When the USPS receives a notice of an appeal hearing in which it is an appellee, the USPS state coordinator reviews the facts of the case and notifies a postal representative having first-hand knowledge that the employee is to appear. The representative presents oral testimony or written documentation (see 554.43) in support of USPS findings.

.42 New Evidence By Claimant. In those appeal hearings in which a claimant introduces new evidence, the USPS representative either replies with Postal Service evidence and arguments or requests a continuation of the case in order to prepare a response to the new evidence.

.43 Disclosure of Information

.431 Routine. During a state unemployment compensation appeal hearing, the Postal Service has the legal authority to disclose all relevant information from any of the systems of records appearing in the list in Subchapter Chapter 3 of the *Administrative Support Manual (ASM).* All postal records presented as evidence during state appeal hearings are excised of all irrelevant information not pertaining to the claimant's reason(s) for separation and for the appeal or the Postal Service's reason(s) for separation of the claimant and for the appeal.

.432 Medical Records. Only medical information which directly relates to the reason(s) the claimant was separated can be presented as evidence during a state appeal hearing. However, in those instances in which the relevant information contains a reference to a malignancy or mental condition, a medical officer is contacted for the purpose of determining whether the claimant has been previously made aware of its existence. If the claimant has not been made aware of the condition, the information is not to be disclosed. If such evidence is essential to the USPS case, a cautionary statement is sent to the state referee prior to the hearing, indicating the importance of such evidence and the possible psychological effect it may have on the claimant if released during the hearing.

.433 Inspection Service Records. Whenever documents originated by the Inspection Service are involved in an appeal hearing, the appropriate Inspector-in-

Charge is notified by the USPS state coordinator. The material in question is referred to the Chief Postal Inspector for review and approval prior to release.

.434 Regional Counsel. The Regional Counsel is consulted when any questions or problems arise in interpreting USPS Privacy Act regulations or interpreting implementation instructions. The Regional Counsel is consulted if:

a. Disclosure of certain relevant information contained in Personnel Investigation Records may reveal the identify of a source who has requested confidentiality.

b. Disclosure of certain relevant information contained in either Personnel Research and Test Validation Records or Recruiting, Examining, Training and Placement Records might jeopardize the fairness or objectivity of an examination process.

554.5 Appeals (Second Level) To State Appellate Board. Either the claimant or the USPS may appeal a determination made by the initial level state appeal authority to the next highest state appellate authority, which is usually the State Appeals Board. Initial level appeal determination indicates the basis for such a determination, as well as the time-frame in which an appeal can be filed. When a USPS state coordinator receives an initial level appeal determination that continues to contradict the USPS findings based on either of the reasons outlined in 554.32, the USPS state coordinator files an appeal based on such arguments. Participation by the USPS in second level state appeals are conducted in the same manner as in the initial level appeal process (see 554.4).

554.6 Postal Service Appeals To State Courts. When a determination has been rendered by a State Appellate Board which continues to contradict USPS findings, the USPS state coordinator immediately contacts the regional unemployment compensation representative. The regional representative initiates appeals to state courts, coordinating with the Regional Labor Counsel and the appropriate USPS state coordinator.

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560 Civil Service Retirement Program

561 Coverage

561.1 Employees Covered

The Civil Service Retirement Law applies to:

a. Employees in the regular work force.

b. Employees serving under a career appointment.

c. Employees in positions subject to the Retirement Law who transfer to temporary, indefinite, or other excluded positions, without a break in service or with a break in service not exceeding 3 days.

561.2 Exclusions

The Civil Service Retirement Law does *not* apply to:

a. Casual employees, except as provided in 561.1*c*.

b. Employees serving under appointments limited to 1 year or less. (If individuals have previously served in positions in the USPS or other Federal Government agencies where they were covered by the Retirement Program, there must be a break of at least 4 days between such previous service and the casual or temporary appointment in the USPS.)

c. Employees serving under temporary appointments pending establishment of a register or pending final determination of eligibility for permanent appointment.

d. Employees paid on a contract or a fee basis such as mail messengers, star route contractors, and clerks in charge of contract stations.

e. Officers-in-charge, unless they are covered in a position specified in 561.1.

f. Clerks in post offices in Cost Ascertainment Group (CAG) L and special delivery messengers who are in post offices in CAG H, J, K and L.

g. Substitute rural carriers, unless they fall under the exception specified in 561.1*c*.

h. Job cleaners.

i. Individuals hired for emergencies such as fires, floods, earthquakes, etc.

j. Employees subject to another federal government retirement system.

562 Creditable Service

562.1 General

.11 Types of Service. Generally, both civilian and military service performed for the federal government is creditable for retirement purposes.

.12 Time Credit

.121 Generally, full-time credit is allowed for periods of government employment between the dates of an employee's appointment and separation.

.122 Full-time credit is not allowed, e.g., when an employee is serving on a "when-actually-employed" basis or when an employee is in non-pay status in excess of 6 months in a calendar year (see 562.265).

562.2 Federal Civilian Service

.21 General

.211 Federal/District of Columbia. Civilian service performed as an employee of the federal government or District of Columbia government is creditable for retirement purposes.

.212 Breaks in Service

a. Periods of separation of 3 calendar days or less are not deducted in computing total creditable service.

b. Periods of separation which total more than 3 days are deducted in computing total creditable service, except in certain instances when injury compensation benefits are received (562.262).

.213 Deductions Refunded. Service for which retirement deductions have been refunded to the employee is creditable in establishing eligibility for annuity. This service may also be used in computing high-three average pay (566.25), if appropriate. If redeposit is not made, such service is not included in calculating length of service for annuity computation purposes.

.22 Service Covered by Social Security. Civilian service covered by Social Security (FICA) is creditable for retirement purposes if such service is followed by employment which is subject to the retirement system.

.23 Part-Time Regular Employees. Employees who serve on a part-time basis (non-full-time service with a prearranged regularly scheduled tour of duty) such as 4 hours a day, 5 days a week, are allowed full calendar credit for all time elapsing between dates of appointment and separation.

.24 Part-Time Flexible Employees. The service of a part-time flexible schedule employee is fully creditable from the date of original appointment to the date of separation. Periods during which the employee was on furlough are creditable only if the periods of absence in the aggregate do not exceed 6 months in any calendar year.

.25 Intermittent Service. With the exception of service as a part-time flexible employee or substitute rural carrier (see 562.24), an employee serving on an intermittent basis (non-full-time service without a prearranged regularly scheduled tour of duty), receives credit, for retirement purposes, for *only* the actual days in a pay status.

.26 Special Circumstances

.261 Japanese-American Employee

a. Conditions. Special retirement credit is granted to employees of Japanese ancestry who meet the following conditions:

(*1*) The employee must have been employed on July 15, 1952, by the federal government in a position covered by the CSC Retirement Act.

(*2*) At some time during the period from December 7, 1941, to September 3, 1945, by reason of United States Policy or program or to enter the U.S. Armed Forces, the employee must have:

(*a*) Been separated from the federal service, or

(*b*) Lost opportunity for or been denied probational appointment from a Civil Service register, or

(*c*) Been denied reinstatement to a position in the federal service.

b. Creditable Time. An employee meeting conditions in 526.261a receives retirement credit for:

(*1*) The period of internment.

(*2*) The period for which loss of opportunity for, or denial of, appointment occurred.

(*3*) The period which resulted from denial of reinstatement, or

(*4*) The period which resulted from separation from the service.

c. Installation Head Responsibility. When, based on documented evidence, an employee is found eligible for such special retirement (and leave) credit, installation heads prepare personnel action forms to adjust personnel and retirement records.

.262 Employee Receiving OWCP Benefits

a. Employee on LWOP Status. Credit is allowed for the entire period that an employee receives OWCP benefits if the employee is carried on the postal rolls in LWOP status.

b. Employee Separated From Postal Service. Full credit is allowed (without deposit) for all separations during which a former employee was in receipt of OWCP benefits, provided that the employee is later reemployed in the Postal Service (or federal service).

.263 Employee Restored After Erroneous Removal or Suspension

a. Policy. An employee whose separation or suspension is determined to have been improper and who is restored retroactively is considered for retirement purposes as having properly been in the service during the intervening period of erroneous separation or suspension.

b. Determining Retirement Credit:

(*1*) If restoration is with entitlement to pay, the employee's basic pay over the intervening period is subject to regular retirement deductions and the employee receives credit for the entire period.

(*2*) If restoration is without entitlement to pay, retirement credit is allowed for as much of the intervening period without pay as does not exceed 6 months in any calendar year.

c. Redeposit Requirement. An employee who before restoration received a refund of retirement deductions, redeposits the refund in order to be eligible for any future annuity based on the period covered by the refund.

.264 Employees Granted LWOP To Serve In Employee Organizations. If an employee is granted LWOP to serve as a fulltime officer or employee of an employee organization composed primarily of federal/postal employees, the following action is taken:

a. Installation Head:

(*1*) Notifies the employee of the employee's right to elect to continue retirement coverage. (The employee's election must be in writing.)

(*2*) Sets up a follow-up system to remind employees that election must be filed within 60 days after employee enters LWOP status.

(*3*) Makes a final effort to urge employees to make an election.

(*4*) If, after being contacted, employees continue to refuse to make an election, documents action taken. Failure to make an election is considered an election to not continue retirement coverage. A copy of the election (or installation head's documentation) is filed in the employee's official personnel folder.

b. Employee:

(*1*) Files an election to continue retirement coverage for as long as in LWOP status. The election must be filed with the installation head within 60 days after LWOP begins.

(*2*) Pays or arranges to have paid to the PDC (if elects to continue retirement coverage), on a current basis, both the current percentage of salary retirement deductions and the matching agency contribution which would be applicable if the employee were in pay status.

c. Declination of Coverage

(*1*) *Credit Not Allowed.* If an employee is on LWOP and serving in an employee organization and declines to continue retirement coverage, this time is not creditable for retirement purposes. This time is also not allowed for any other purpose in which service creditable for retirement is used as a criterion (e.g., leave or job retention).

(*2*) *Retirement/Death on LWOP.* If the employee retires or dies while on LWOP, annuity or survivors' annuity rights are determined as of the day preceding the one on which the employee entered on LWOP.

.265 Employee On Leave Of Absence. An employee on leave of absence is granted credit for:

a. All leave with pay.

b. Time on the rolls in a non-pay status (i.e., LWOP, suspension, furlough, and AWOL), not exceeding 6 months in the aggregate in any calendar year, except when the entire time is creditable as provided in 562.262, 562.264, and 562.3.

562.3 Military Service

.31 Types of Service

.311 Military Groups. Retirement credit is allowed for honorable active service in the Army, Navy, Air Force, Marine Corps, Coast Guard and, after June 30, 1960, in the Regular or Reserve Corps of the Public Health Service of the United States and, after June 30, 1961, as a commissioned officer of the Coast and Geodetic Survey.

.312 Reserve Components. Active duty for training in the reserve components of these services is also creditable. Inactive duty time while in the reserve components of these services is not creditable.

.313 Military Academies. Service as a midshipman at the U.S. Naval Academy and as a cadet at the U.S. Military Academy, Air Force Academy, or Coast Guard Academy, constitutes military service and is also creditable for retirement purposes.

.314 Special Circumstances

a. Military Service After December 31, 1956. Periods of military service performed after December 31, 1956 (unless covered by military leave with pay from a civilian position, i.e. training periods), are not creditable for retirement purposes if, at the time of computation of annuity, the employee or the employee's survivor is (or upon proper application would be), entitled to monthly old-age or survivor benefits under section 202 of the Social Security Act.

b. National Guard Service.

(*1*) National Guard Service is creditable only when:

(*a*) The organization is activated in the U.S. Army or Air Force or

(*b*) The employee is ordered to active duty service or training or as a member of the Army or Air National Guard of the United States.

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(*2*) National Guard service or training periods are not creditable under the following circumstances:

(*a*) Service performed before January 1, 1953, and not directly under a call by the President of the United States.

(*b*) Service performed for a state government, or duty called for by a governor of a state.

.32 Required Conditions. Military service must have been performed before the date of separation on which title to annuity is based and must have been terminated by honorable discharge or terminated under other honorable conditions.

.33 Double Credit not Permitted. Military service is not creditable if the employee receives retired pay, unless the retired pay is awarded under conditions listed in 562.35. An employee may not receive credit for both civilian service and military service covering the same periods of time.

.34 Deposit not Required. Creditable military service is free. Full credit is allowed without making contributions to the retirement fund to cover such service.

.35 Military Retired Pay

.351 Civil Service Annuity. The receipt of military retired pay bars the crediting of military service toward Civil Service annuity except when:

a. The retired pay is awarded because of a disability incurred in combat with an enemy of the United States or caused by an instrument of war and incurred in line of duty during a period of war, or

b. The retired pay is granted under 1331 through 1337 of Chapter 67, Title 10, U.S. Code, which pertains to retirement from a reserve component of the Armed Forces on the basis of service instead of disability.

.352 Waiver of Military Retired Pay

a. General. An applicant for annuity, receiving military retired pay which bars the use of the military service in the computation of Civil Service Retirement annuity may elect to give up military retired pay. The military service may then be added to the civilian service in computing Civil Service retirement annuity.

b. Procedures. An employee retiring from the Postal Service who decides to waive military retired pay:

(*1*) Notifies the military retired pay office by letter, well in advance of retirement date, of the decision to waive military retired pay in order to receive credit for the military service for computing Civil Service annuity. The notice includes: (a) the employee's full name, military rank, and serial number; (b) the desired date that retired pay is to stop (the day before annuity begins); and (c) a request that the military retired pay office notify the CSC of the effective date of the waiver.

(*2*) Attaches a copy of the waiver request to SF 2801, *Application for Retirement,* so that the CSC knows a waiver has been requested. If the retired pay finance center's acknowledgment of the waiver is received before the retirement application is submitted to the CSC (through the PSC and PDC), attaches a copy of the retired pay finance center's acknowledgment of the waiver.

562.4 Credit for Unused Sick Leave

.41 Eligibility. Unused sick leave to an employee's credit is used in computing service for annuity purposes if the employee: (a) retires on an immediate annuity or (b) dies leaving a widow(er) entitled to survivor annuity.

.42 Method of Computing. After it is determined that an employee meets the minimum length of service required for retirement, any unused sick leave to the employee's credit is converted to years, months and days on the basis of a 260-day work year and added to the employee's total service time (See 562). The employee's high-3 average pay is then determined and annuity is computed.

.43 Restrictions. Credit for unused sick leave is allowable only for annuity purposes. It is not allowable for other purposes in which service creditable for retirement is used as a criterion, such as, leave or job retention.

562.5 Computing Total Length of Service

Total service on which an annuity is based, including periods of military service and unused sick leave, is counted in full years and months. Any fractional part of a month is not counted.

563 Annuities—Requirements and Procedures

563.1 General Requirements

.11 Conduct. An annuity may not be paid to any employee who has ever been convicted of an offense involving the national security of the United States.

.12 Time. To be eligible for an annuity an employee must:

a. Have a minimum of 5 years of creditable civilian service.

b. Complete, within the last 2 year period before separation on which retirement is based, at least 1 year in employment covered by the Civil Service Retirement Law, except when an annuity is payable because of total disability.

.13 Age and Service. Employees separated for any reason, except as stated in 563.11, are eligible for optional retirement and an immediate annuity if they meet one of the following combinations of age and service:

a. Age 62 with 5 years of creditable civilian service.

b. Age 60 with 20 years of creditable service, including 5 years of creditable civilian service.

c. Age 55 with 30 years of creditable service, including 5 years of creditable civilian service.

563.2 Requirements and Procedures By Type of Separation

.21 Involuntary Separation

.211 Additional Requirements. An employee who is involuntarily separated from the service (not for cause), may apply for an immediate annuity if the employee meets the general requirements in 563.1 and:

a. Has 20 years of creditable service, including 5 years of creditable civilian service, and is 50 years of age or over, or

b. Has 25 years of creditable service, including 5 years of creditable civilian service, regardless of age.

.212 Reduced Annuity. If the retiring employee is under age 55, the basic life annuity rate is reduced by one-sixth of 1% for each full month (2% a year) that the employee is under age 55.

.22 Mandatory Retirement. Law enforcement officers (e.g. Postal Inspectors) are the only Postal employees subject to mandatory retirement because of age. Information on mandatory retirement for these employees can be obtained from the Office of the Chief Postal Inspector, Washington, D.C. 20260.

.23 Disability Retirement

.231 Requirements

a. Service. The employee must have completed at least 5 years of civilian service.

b. Total Disability. Employees must, while employed subject to the retirement system, become totally disabled for useful and efficient service in their position or any other position of the same grade or class.

c. Conduct. The disease or injury which caused the disability must not be the result of vicious habits, intemperance, or willful misconduct on the employee's part within the 5 year period immediately prior to becoming disabled.

.232 Medical Examination Requirement.

a. General. Unless there is other evidence acceptable to the CSC, no employees may retire for disability until they have been examined by a federal medical officer or other physician designated by the CSC.

b. Arrangements. If adequate medical facilities are available, authorized postal officials assist in meeting the examination requirement by arranging for medical examination of the employee.

c. Medical Report. The medical officer's report must be full and comprehensive and must include complete medical data on all pertinent phases of the disabling conditions alleged or found to exist.

d. Restriction. Do not request hospitals or regional offices of the Veterans' Administration to perform these examinations as the laws under which that agency operates require that the agency be reimbursed for services rendered to other than persons entitled to Veteran's benefits.

e. Procedures When Installation Unable to Secure Medical Examination. If the installation lacks facilities for securing examination of the applicant, the procedure to be followed depends on the residence of the applicant, as follows:

(*1*) If the applicant resides in the Washington, DC, Metropolitan Area, the application and supporting documents are accompanied by a statement that the installation is unable to secure medical examination of the applicant by medical facilities within the installation, or

(*2*) If the applicant resides outside the Washington, DC, Metropolitan Area, the installation requests an official medical examination from the CSC by completing SF 2801-C, *Transmittal of Medical and Related Documents.*

f. Additional Statement If Medical Examination Is not Made. If the installation is unable to secure a medical examination report to accompany the application, an additional statement is included, together with other supporting documents concerning the applicant's physical ability to travel for a medical examination to be arranged by the CSC, central or regional office. If the applicant is unable to travel, state the nature of the physical condition prohibiting travel and, if the applicant has been hospitalized, the name and location of the hospital.

.233 Preparation of Application and Supporting Documents

a. SF 2801, Application for Retirement, may be filed and signed by the employee, the employee's guardian, or by some other person acting in the employee's behalf. It may also be filed by the installation head when it is determined that the employee's service is deficient and, in management's opinion, the deficiencies are caused by a possible health problem. If the application if filed by the installation, it is signed by the postal official in charge or other official delegated authority to sign personnel actions affecting the employee involved.

b. Informal Claim. An application submitted to the CSC on an inappropriate form, or on an appropriate form not properly completed may be accepted as an informal claim, but only on condition that the claimant (immediately or within a reasonable time) submits a properly executed application.

c. Statement of the Employee's Attending Physician.

(*1*) Except as noted in 563.23, a statement of the employee's attending physician is required in every case of disability retirement. This statement is obtained by the employee, preferably on SF 2801-B, *Physician's Statement in Connection with Application for Total Disability Retirement.* If the employee does not wish to use this standard form, the employee may obtain a statement on the physician's stationery.

(*2*) In the statement, the physician fully describes all physical signs of the existing disease or injury and gives an opinion regarding: a) the degree to which the applicant is disabled for useful and efficient service, b) the date on which disability began, and c) an opinion on whether the disease is due to vicious habits, intemperance, or willful misconduct. If the physician prefers, the statement may be given directly to the installation in a sealed envelope marked with the applicant's name and the words *Disability Retirement Restricted-Medical Information.*

(*3*) The installation forwards the unopened envelope, with other supporting documents as listed in 563.234.

d. Statement of the Employee's Superior Officer. A statement on SF 2801-A, *Superior Officer's Statement in Connection with Application for Total Disability Retirement,* is required from the employee's supervisor in every case of disability retirement. The statement should include the following information:

(*1*) How the employee's disability affects the employee's performance of duty.

(*2*) Whether the employee is qualified to perform the work of some other position and whether such other position has been offered to the employee.

(*3*) If another position has been offered to the employee, the duties of the position and the attendant compensation.

(*4*) Opinion as to whether the existing disease or injury is the result of vicious habits, intemperance, or willful misconduct.

.234 Submission of Application and Supporting Documents

a. Employees Outside the Washington, DC, Metropolitan Area:

(*1*) Submit the following to the Medical Officer of the CSC Regional Office:

(*a*) Statement of employee's superior officer, SF 2801-A.

(*b*) Statement of employee's attending physician, preferably SF 2801-B. (Under "Restricted-Medical Information" Cover.)

(*c*) Report of examination by a federal medical officer, when available (Under *Restricted-Medical Information* Cover).

(*d*) Original SF 2801-C, *Transmittal of Medical and Related Documents* (Under *Restricted-Medical Information* Cover).

(*e*) If the retirement application is initiated by the employing installation, a statement that the employee refused to execute the application on his or her own behalf.

(*2*) Submit the following to the Retirement Section of the appropriate PDC with the SF 2801, *Application for Retirement*

(*a*) Copy of SF 2801-C.

(*b*) Copy of statement.

b. Field Employees in Washington, DC, Metropolitan Area, submit the following to the Retirement Section, N.Y. PDC:

(*1*) SF 2801, *Application for Retirement.*

(*2*) SF 2801-A, *Superior Officer's Statement in Connection With Application for Total Disability Retirement.*

(*3*) SF 2801-B, *Physician's Statement in Connection With Application for Total Disability Retirement.* (Under "Restricted-Medical Information" Cover.)

(*4*) Report of examination (under "Restricted-Medical Information" Cover) by a federal medical officer if adequate medical facilities are available within the post office or statement that no medical facilities are available within the USPS.

(*5*) Statement that the employee refused to execute the application in his or her own behalf, when it is initiated by the employing office.

c. Direct Submission by the Employee or Other Interested Person. If the employee has been separated more than 30 days, the application may be submitted direct to the Claims Division, Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415. It must be accompanied by SF 2801-A and 2801-B.

d. Time Limit For Application. Application submitted by the employee (or on the employee's behalf) is filed with the appropriate office of the CSC before the employee's separation from the service, or within 1 year thereafter. The 1 year time limit also applies to separated employees who elect to receive compensation for work injuries under the Federal Employee's Compensation Act. It cannot be waived, except in the case of an employee who is mentally incompetent at the time of separation or who becomes so within 1 year after separation. In such case, this time limitation may be waived by the CSC if application is filed within 1 year from the date the employee is restored to competency or a guardian is appointed, whichever is earlier. An application filed for the employee by the installation head is filed with the CSC before the employee is separated from the service.

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.235 Disability Eligibility Determination. The Commission's Bureau of Retirement, Insurance and Occupational Health determines whether an employee is eligible for disability retirement.

.236 Appeals Procedure

a. An employee (or installation head in cases of management-initiated disability claims) may request the Director, Bureau of Retirement, Insurance and Occupational Health, CSC to reconsider an adverse decision for disability retirement. The request for reconsideration is submitted within 15 days of receipt of the notice of decision.

b. When the request for reconsideration is received, the Director, Bureau of Retirement, reviews the complete file and arranges a new medical examination, if necessary.

If an adverse decision is made, the employee (or installation head in the case of management filed cases) may appeal the decision to the appropriate field office of the Federal Employee Appeals Authority (FEAA) within 15 days of receipt of the decision notice.

c. The FEAA reviews the case and schedules a hearing if one is desired by the appellant. When evidence is complete, a decision is made.

.237 Separation of Employee. If disability retirement is approved by the CSC, and the employee has not already been separated from the USPS, the installation head takes one of the following actions:

a. If the employee is on LWOP, separate the employee as of the date notice is received.

b. If the employee is on sick leave, separate the employee at the end of the day on which all sick leave expires (unless the employee requests an earlier separation date).

c. If the employee is on annual leave and has no sick leave, separate the employee as soon as practical (the day on which the notice of approval is received, but usually no later than the end of the pay period in which the notice is received).

d. If the employee is on annual leave and has unused sick leave, consult with the employee to determine whether he wishes to be placed on sick leave until all or a portion of such sick leave expires or wishes to be separated immediately and have the sick leave used in the computation of annuity payments.

e. If the employee is still at work, first grant any sick leave to which the employee is entitled and has applied for and then separate the employee as of the end of the last day of sick leave.

f. If separating the employee at the end of a particular day may cause a forfeiture of any annual leave which could not be included in a lump-sum payment, do not separate the employee until all annual leave which otherwise would be forfeited is granted.

.238 Periodic Medical Examination. Unless the CSC determines that the disability is permanent in character, disability annuitants undergo periodic medical examinations until they reach age 60. The Commission arranges for the examination at no expense to the annuitants. If an annuitant fails to take the required medical examination, payment of annuity is suspended until continuance of disability is satisfactorily established. A finding of permanent disability eliminates the necessity for examination unless warranted by the particular circumstances.

.239 Recovery or Restoration to Earning Capacity

a. Annuity Discontinuance Dates. If, before reaching age 60, a disability annuitant recovers, or is restored to earning capacity, annuity payments are continued temporarily to afford the annuitant an opportunity to seek reemployment. The annuity payments are discontinued on the earliest of the following dates:

(*1*) Date of reemployment by the government.

(*2*) 1 year from the date of medical examination showing recovery.

(*3*) 1 year from the date of determination that earning capacity is restored.

b. Test for Restored Earning Capacity. Earning capacity is deemed restored if, in each of 2 succeeding calendar years, the income of the annuitant from wages or self-employment, or both, equals at least 80% of the current rate of compensation of the position occupied immediately before retirement.

c. Qualifying for Annuities. An annuitant found recovered or restored to earning capacity who is not reemployed in the government in a position under the retirement law is considered, except for service credit purpose, as involuntarily separated from the service on the date annuity stops. (See 563.21 for annuity eligibility requirements based on involuntary separation.) The individual qualifies for 1 of the following annuities, depending on age and length of service:

(*1*) 20-year discontinued-service annuity. Begins the day after disability annuity stops, if the individual is age 50 or older.

(*2*) 25-year discontinued-service annuity. Begins the day after disability annuity stops, regardless of the individual's age.

(*3*) Deferred annuity. Begins when the individual reaches age 62. (See 563.3.)

563.3 Deferred Annuity. An employee under age 62 who separates from the service for any reason, or who transfers to a position under another retirement system, is eligible for a deferred annuity at the age of 62 if the general requirements in 563.1 are met and retirement deductions remain in the fund for the employee's final period of employment.

564 Types of Annuities

564.1 Annuity Without Survivor Benfits is available to all retiring employees. It *provides* for annuity payments during the life of the retiring employee. It *does not provide* survivor benefits.

564.2 Annuity with Survivor Benefits

.21 Annuity to Widow or Widower

.211 General. An annuity with survivor benefits to the widow(er) is automatic for a married employee, unless the employee requests (in writing) an annuity without survivor benefits. Annuity with survivor benefits provides a retiring employee with annuity payments at a reduced rate and, upon the annuitant's death, provides the designated survivor with survivor annuity payments.

.212 Effective Date. The survivor annuity begins on the day after the annuitant's death and ends on the last day of the month preceding the one in which the widow(er) remarries or dies. See 567.15 & .16 for eligibility for continuance of annuity for a widow(er) (a) upon remarriage under age 60 and (b) upon remarriage after age 60.

.213 Reduction in Employee's Annuity. The reduction in the retiring employee's annuity is 2 ½% of any amount up to $3,600, specified as the base for the survivor benefit, plus 10% of any amount over $3,600 so specified.

.22 Annuity to Person with Insurable Interest

.221 Availability. This type of annuity is available only to unmarried employees (including those widowed or divorced) who are retiring in good health.

.222 Provisions. This type of annuity provides payments at a reduced rate during the life of the retiring employee. Upon the retiring employee's death, it provides a survivor's annuity payable to the person designated. The person designated must have an insurable interest in the retiring employee. An insurable interest is presumed to exist if the person named has a reasonable expectancy of pecuniary benefit in the continuance of the life of the employee.

.223 Reduced Rate. The entire life annuity of the employee is reduced by 10% plus an additional 5% for each 5 years the person named is younger than the retiring employee. The maximum reduction is 40%.

.23 Surviving Child. Regardless of the type of annuity elected at the time of retirement, a surviving child of a deceased annuitant who (a) is under the age of 18 and single, (b) is over age 18 and incapable of self-support, or (c) is a student under the age of 22, is entitled by law to survivor annuity. (See 567.13).

564.3 Election of Annuity

.31 Application. The type of annuity desired by the retiring employee is indicated on the application for retirement (SF 2801), at the time of retirement. The type of annuity is *not* indicated on a disability retirement application that is management-initiated.

.32 Election Changes After Retirement

.321 Restriction. The annuity elected by an employee who is married at the time of retirement cannot be changed after the employee's claim has been accepted by CSC and has been allowed.

.322 Marriage Terminated. If an employee who is married at the time of retirement elects a reduced annuity with survivor benefit to widow(er) and the marriage is terminated before the annuitant dies, the reduction in annuity is eliminated.

.323 Marriage Terminated and Remarriage. If a reduction in annuity was eliminated because of termination of marriage and the retired employee remarries, reduced annuity may be elected. The annuity is reduced by the same percentage reduction in effect at retirement. The new spouse is eligible for the survivor benefits provided: (a) the marriage was in effect for at least 1 year before the annuitant's death, or (b) the new spouse is the parent of a child born of the marriage.

.324 Marriage After Retirement

a. Change From Unreduced Annuity. An employee who is not married at the time of retirement, and who elects an unreduced annuity without survivor benefits, may, if the employee marries after retirement, change election to a reduced annuity with survivor benefits to widow(er). The annuitant submits a signed, written request for the change to CSC no later than 1 year after the marriage. Once the change in election is accepted by CSC, it cannot be changed again.

b. Change From Person Having Insurable Interest. An election of a reduced annuity with survivor benefits to a named person having an insurable interest may be changed to a reduced annuity with survivor benefits to widow(er) if the employee marries after retirement. Written request for the change is submitted to CSC no later than 1 year after the marriage. Once the change in election is accepted by the Commission, it cannot be changed again.

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565 Employee Retirement Account

565.1 Deductions From Current Earnings.

7% of each employee's basic pay is deducted and withheld as the employee's contribution to the retirement fund.

565.2 Deposits for Prior Service

.21 Employee Deposits

.211 Percentages of Basic Pay. Employees credited with civilian service after July 31, 1920, for which no retirement deductions or deposits have been made, deposit with interest an amount equal to the following percentages of their basic pay for such service:

Percentage of Basic Pay	Service Period
2½	August 1, 1920 to June 30, 1926
3½	July 1, 1926 to June 30, 1942
5	July 1, 1942 to June 30, 1948
6	July 1, 1948 to October 31, 1956
6½	November 1, 1956 to December 31, 1969
7	After December 31, 1969

.212 Reduction for Periods of No Deposit. No deposit is required for periods of service for which no retirement deductions were made. However, the annuity otherwise payable to the retiring employee is reduced by 10% of the balance due or unpaid, unless the employee elects to eliminate the service entirely from credit for annuity purposes.

.22 Survivor Deposits. Deposits may be made or completed after the death of the employee by a survivor who is qualified to receive annuity benefits.

.23 Deposit/Redeposit Application. Deposits or redeposits require SF 2803, *Application To Make Deposit or Redeposit.* SF 2803 must be routed through the appropriate PDC for proper certification and/or listing of service history and for transmittal to the CSC. CSC computes the amount due and furnishes the employee with instructions on how to make payment.

565.3 Redeposits

.31 Employee Redeposits. Each employee who has received a refund of retirement deductions, covering service for which the employee is allowed credit under the Civil Service Retirement Act, may redeposit the amount received, with interest. In determining the amount of annuity, no credit is allowed for the service covered by the refund until redeposit is made.

.32 Survivor Redeposits. Redeposits may be made or completed after the death of the employee by a survivor who is qualified to receive annuity benefits.

.33 Form Used. See 565.23.

565.4 Voluntary Contributions

.41 Application. An employee who wishes to obtain a larger retirement annuity than is otherwise provided may purchase additional annuity by making voluntary contributions to the retirement fund subject to the restrictions set forth in 565.42. Application is made by filing SF 2804, *Application to Make Voluntary Contributions,* with the CSC.

.42 Restrictions. Voluntary contributions are made subject to the following restrictions:

a. If an employee has had creditable civilian service for which no deposit or redeposit has been made, the employee is eligible to make voluntary contributions only upon completing the deposit or redeposit.

b. If an employee has at any time received a refund of voluntary contributions with interest, the employee may not make further voluntary contributions unless again employed under the Civil Service Retirement Law after a separation of more than 3 calendar days.

.43 Amount of Contributions. Voluntary contributions are made in multiples of $25, and their total may not exceed 10% of the total base pay received for creditable service since August 1, 1920.

.44 Amount of Additional Annuity. The age of the retiring employee governs the amount of additional annuity the voluntary account purchases. Each $100 credited to the employee's account purchases additional annuity of $7 a year for an employee retiring at age 55 or younger. The $7 amount increases 20 cents for each full year that the employee is beyond age 55 at the time of retirement.

.45 Type of Annuity Election. The employee's election of the type of basic annuity desired also applies to the additional annuity purchased with voluntary contributions, unless the employee indicates to the contrary in a note attached to the application for retirement.

.46 Withdrawal of Voluntary Contribution

***.461* Conditions.** An employee may withdraw voluntary contributions with interest under the following conditions:

a. Before separation from service, or

b. After separation, but before receipt of any additional annuity based thereon.

***.462* Application.** Withdrawals are made by filing with the CSC SF 2802, *Application for Refund of Retirement Deductions,* and indicating on the form that the application is for refund of voluntary contributions, *not* for refund of regular retirement deductions.

.47 Death Before Retirement. If an employee dies in service, or after separation but before retirement, the voluntary contributions with interest are payable to the person(s) entitled, in the order of precedence defined in 567.22.

565.5 Refund of Deductions

.51 Less Than 5 Years Civilian Service

***.511* Refund.** An employee who has completed less than 5 years of civilian service at the time of separation or of transfer to a position not covered by the retirement law, may apply for a refund of the retirement deductions made from the employee's salary and of any sums deposited covering prior service, with interest.

***.512* Interest.** No interest is given if the refund period is 1 year or less. Interest is computed at 4% to December 31, 1947, and 3% thereafter, compounded annually to the date of separation or transfer.

***.513* Application.** A refund may be obtained by filing SF 2802, *Application for Refund of Retirement Deductions.*

.52 5 or More Years Civilian Service

***.521* Choice.** An employee who has completed 5 or more years of creditable civilian service and is separated or is transferred to a position not covered by the retirement law has a choice of either a refund payment or a deferred retirement annuity at age 62.

***.522* Value.** In dollars received, the annuity in most cases is more valuable than the refund of retirement deductions. When employees retire at age 62, they also have the right to elect a survivor annuity for the protection of their widow(er)s.

***.523* Eligibility.** To be eligible for a refund, the employee files the refund application (SF 2802) with the CSC at least 31 days before the beginning date of any annuity for which the employee may be eligible.

***.524* Refund.** The refund consists of the retirement deductions made from the employee's salary and any sums deposited covering prior service.

***.525* Interest.** Interest is paid at 4% to December 31, 1947, and 3% thereafter, compounded annually to date of separation or December 31, 1956, whichever is the earlier.

.526 Repayment. An employee who receives a refund of retirement deductions cannot receive an annuity for the period of service covered by the deductions unless the person is reemployed in a position subject to the retirement system and repays the deductions with interest.

.53 Reemployment Within 31 Days of Separation. Regardless of length of service, employees who are not eligible for retirement when separated, may receive a refund of retirement deductions provided they are not employed in a position covered by the retirement law within 31 days from the date of the separation on which the claim for refund is based.

566 Annuity Computation

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566.1 Effective Dates

.11 Beginning. Annuity for a retiree begins the day after separation or the day after the last day in a pay status, provided the employee meets age and service requirements (or disability requirements) for annuity entitlement.

.12 Ending. Annuity payment ends on the day of the annuitant's death or on the date the employee becomes ineligible for annuity because of reemployment or other reasons. Survivor annuities are paid through the last day of the month before death or any other terminating event, such as a survivor annuitant's remarriage.

.13 Employee's Work and Leave Status

.131 Use of Leave Balance. Bargaining unit employees with leave balances subject to forfeiture who have not used this leave prior to the effective date of retirement are placed on annual leave in advance of the effective date of retirement.

.132 Continuing Leave Status. Employees who have requested disability retirement and who are unable to work while their applications are under review by the CSC continue on the rolls in a leave status (with or without pay) pending notification by the CSC of its decision on the application.

566.2 Factors Affecting Annuity Computations

.21 Primary Factors

a. Length of service, including credit for unused sick leave.

b. High-3 average pay.

.22 Other Factors:

a. Retirement before age 55.

b. Failure to make deposit.

c. Election of reduced annuity to provide survivor benefits for the spouse.

d. Increases for voluntary contributions (see 565.4).

.23 Determining Length of Service. The length of service for annuity computation purposes, is determined by adding together all periods of the employee's creditable civilian and military service and the period credited to the employee for unused sick leave. After obtaining total service, the fractional part of a month is dropped because annuity is computed on the basis of years and months. No credit is allowed for the remaining odd days of total service.

.24 Determining High 3-Year Period

.241 Dates Included. The 3-year period starts and ends on the dates producing the highest average pay. The period need not start on the first day of any month or on the date of a pay change.

.242 Consecutive. The 3-year period need not be continuous but must be consecutive. *Example:* Two or more separate periods of employment may be joined provided there is not an intervening period of service to be considered.

.243 Refunded Deductions. The 3-year period may include service for which retirement deductions have been refunded, even though not redeposited.

.25 Determining High-3 Average Pay

.251 Computation. The high-3 average pay is determined by averaging the rates of an employee's basic pay over a period of 3 consecutive years of creditable service, with each rate weighted by the period of time during which it was in effect. The high 3-average pay for part-time flexible employees is calculated by using the employees' basic earnings over the three year period which produces the highest average.

.252 Basic Pay. Basic pay for retirement purposes includes higher level pay but does not include cost-of-living adjustments (COLA), overtime pay, night differential, military pay, allowances, or lump-sum terminal leave benefits.

566.3 General Formula

.31 Computation. The basic annuity under the general formula is obtained as follows:

Step 1. Take: 1½% of the high-3 average pay and multiply the result by 5 years of service.
Step 2. Add: 1¾% of the high-3 average pay multiplied by the number of years of service between 5 and 10.
Step 3. Add: 2% of the high-3 average pay multiplied by all service over 10 years.

.32 Substitution. Instead of using 1½%, 1¾%, and 2%, a substitution of 1% of the high-3 average pay plus $25 may be made for any or all of the percentages if a higher basic annuity is produced.

.33 Guides For Applying the General Formula. Regardless of length of service, the following rules apply in computing basic annuities under the general formula. If the high-3 average pay salary is:

a. $5,000 or More, the highest basic annuity is obtained by using Steps 1 through 3.

b. Between $3,334 and $4,999, the highest annuity is obtained by substituting the 1% plus $25 in Step 1, and then using Steps 2 and 3.

c. Between $2,501 and $3,333, the highest annuity is obtained by substituting the 1% plus $25 in Steps 1 and 2, and using Step 3.

d. $2,500 or less, the highest annuity is obtained by taking 1% of the high-3 average salary, adding $25, and multiplying the result by total service, eliminating Steps 1 through 3.

.34 Maximum and Minimum Annuity Benefits

.341 80% Limitation. The basic annuity of a retiring employee may not exceed 80% of high-3 average salary except when an annuity in excess of 80% results from crediting unused sick leave (see 562.4). If an annuity computed under the general formula exceeds 80%, it is reduced to an amount equal to 80% of the high-3 average salary. The reduction is made prior to applying any reductions or increases.

.342 Excess Service. If employees have service in excess of the years and months required to provide the 80% maximum (usually 41 years and 11 months), retirement deductions withheld after they have completed the service requirements may be:

a. Credited to their voluntary contribution accounts if their regular deduction obligations have been satisfied. (If employees owe a deposit or redeposit, the money is first applied to that and any balance is credited as voluntary contributions.)

b. Refunded to employees if they elect the refund before their annuity is granted and if no deposit or redeposit is due.

c. Paid in a lump-sum to eligible survivors if the employee dies.

.343 Minimum Monthly Annuity Benefit

a. General. The minimum monthly Civil Service annuity rate is equal to the smallest social security primary insurance amount. Consequently, when there is an increase in the smallest social security primary insurance benefit, there is an equivalent increase in the minimum monthly retirement benefit.

b. Restriction. An annuitant's monthly retirement benefit may not be increased to the social security primary insurance amount if the annuitant is entitled to any other periodic payment from the government that equals or exceeds the smallest primary insurance amount then in effect. Such periodic payments include social security benefits, annuities, or retired pay under any federal civilian or military retirement system, pension, veteran's compensation, or similar federal government periodic payments.

566.4 Disability Retirement

.41 Guaranteed Minimum

.411 Employee Under Age 60

a. An employee under age 60, retiring on disability is allowed a minimum basic annuity if it is greater than the basic annuity computed under the general formula. The minimum basic annuity is the lesser of:

(*1*) 40% of the high-3 average pay, or

(*2*) The annuity obtained by using the general formula after increasing the total service by the length of time elapsing between the date of separation and the date that the employee would reach age 60.

b. If the employee is eligible for immediate annuity benefits under the general formula based on age and service and if the general formula yields a larger annuity than the prescribed minimum, the general formula is used.

.412 Employee Past Age 60. The guaranteed minimum contains no provisions for projection of service past age 60. Therefore, the disability annuity rate of an employee who is age 60 or over, must be computed by using the employee's actual service in the general formula, regardless of whether the result would be greater or less than 40% of the employee's high-3 pay.

.42 Application of Guaranteed Minimum Principle

.421 Computations: If the high-3 average pay salary is:

a. $4,839 or More, and

(*1*) If the employee's actual service is at least 21 years and 11 months, actual service in the general formula is used. A computation under the guaranteed minimum provides no advantage.

(*2*) If the employee's actual service is less than 21 years and 11 months but service would, if projected to age 60, total at least 21 years and 11 months, then 40% of the employee's high-3 average salary produces the highest allowable basic annuity, which is the guaranteed minimum.

(*3*) If the employee's combination of actual and projected service totals less than 21 years and 11 months, use of such total service in the general formula produces the highest allowable basic annuity, which is the guaranteed minimum.

b. Between $2,500 and $4,838, the following table and computations are used to determine the basic disability annuity rate:

(*1*) Table.

High-3 Average Salary Table for Determining Basic Annuity Rates for Disability Retirement	Service	
	Years	Months
$2,500 to $2,542	20	1
$2,543 to $2,586	20	2
$2,587 to $2,631	20	3
$2,632 to $2,678	20	4
$2,679 to $2,727	20	5
$2,728 to $2,777	20	6
$2,778 to $2,830	20	7
$2,831 to $2,884	20	8
$2,885 to $2,941	20	9
$2,942 to $2,999	20	10
$3,000 to $3,061	20	11
$3,062 to $3,124	21	0
$3,125 to $3,191	21	1
$3,192 to $3,260	21	2
$3,261 to $3,333	21	3
$3,334 to $3,488	21	4
$3,489 to $3,658	21	5
$3,659 to $3,846	21	6
$3,847 to $4,054	21	7
$4,055 to $4,285	21	8
$4,286 to $4,545	21	9
$4,546 to $4,838	21	10

(2) *Computations.*

(*a*) If the employee's actual service is equal to or greater than the service shown in the Table for the applicable high-3 average salary range, use the actual service in the general formula, a computation under the minimum guarantee provides no advantage.

(*b*) If the employee's actual service is less than the service shown in the Table for the applicable high-3 average salary range, but would, if projected to age 60, total at least that much, 40% of the high-3 average salary produces the highest allowable basic annuity, which is the guaranteed minimum.

(*c*) If the employee's combination of actual service and service projected to age 60 totals less than the service shown in the Table for the applicable high-3 average salary range, use of such total service in the general formula produces the highest basic annuity, which is the guaranteed minimum.

c. *$2,499 or Less,* the disability annuity rate is obtained as follows:

(*1*) Compute the employee's annuity rate under the general formula, using the employee's actual service.

(*2*) Compute the employee's annuity rate under the guaranteed minimum, using (a) actual service plus projected service to age 60 in the general formula and (b) 40% of high-3 average salary.

(*3*) Discard the higher annuity rate obtained under the guaranteed minimum.

(*4*) Compare the lower rate obtained under the guaranteed minimum with the rate obtained by using the employee's actual service in the general formula and select whichever is higher as the basic annuity.

.422 Examples Resulting from Applying Guaranteed Minimum

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a. An employee disabled at an early age may be entitled to a higher basic annuity than an older disabled employee with more actual service and a greater high-3 average salary.

b. Disabled employees with identical high-3 average salaries but different lengths of service may be entitled to the same basic annuities.

c. A disabled employee may be entitled to a higher basic annuity than an employee with more service and a greater high-3 average salary who is retiring at or over age 62 under a provision other than disability.

.423 Concept. The situations in 566.422 result from the concept underlying the guaranteed minimum for disability annuitants. Disability interrupts a career which otherwise would have extended to age 60 and basic annuity should, therefore, include credit for the time which the employee normally would have served, subject to a maximum limitation of 40% of the high-3 average salary.

566.5 Reemployed Annuitants—Additional Annuity

.51 Supplemental Annuity

.511 Eligibility

a. Certain reemployed annuitants, on termination of reemployment which was on a continuous full-time or part-time basis and such reemployment is the equivalent of at least 1 year, are eligible for supplemental annuity based on the period of reemployment. Those who serve the equivalent of at least 5 years may elect to have their annuity rate redetermined. If they desire, reemployed annuitants may elect another type of annuity at this time (with regard to survivor benefits). The annuitant makes a deposit to cover the reemployment service in order to have a complete recomputation of annuity. An individual working on a part-time basis (half-time) must work 2 years to meet the equivalent of at least 1 year of reemployment service.

b. A reemployed annuitant whose final period of reemployment consists of the equivalent of at least 1 year of continuous service (on either a full-time or part-time basis) may be eligible for additional (supplemental) annuity. However, the annuitant's retirement must have been based on:

(*1*) Voluntary separation, or

(*2*) Separation for age retirement, misconduct or delinquency, or

(*3*) Disability and employee not found recovered or restored to earning capacity, or

(*4*) Involuntary separation, provided the employee's reemployment service was not subject to the retirement act and annuity continued during reemployment.

.512 Application

a. An annuitant who is separated from reemployment and who is eligible for supplemental annuity completes SF 2801 and submits the form to the installation head.

b. The installation head forwards the application to the appropriate Personnel Service Center with applicable forms to generate a supplemental *Individual Retirement Record* (SF 2806), to be prepared by the PDC. The SF 2806 reflects a complete history of all reemployment service subsequent to retirement.

c. The PDC forwards the retirement application, retirement record, and other documents to the CSC for processing.

.513 Computation.

a. *Continuous Employment.* Supplemental annuity (566.51) is computed on all periods of continuous reemployment service that is the equivalent of at least 1 year after the employee's retirement. Such periods are considered as part of the employee's total service. Employment is considered continuous unless interrupted by a separation from service exceeding 3 calendar days. Leave of absence, with or without pay, does not break continuity.

b. *General Formula.* The supplemental annuity is computed under the general formula (566.3). It is computed only at the end of reemployment and is based on the average basic salary (before annuity deduction) received during periods of continuous employment. (Employee's salary during reemployment is reduced by the amount of annuity.)

c. *Average Salary.* The full rates of basic salary in effect during all periods of reemployment, with each rate weighted by the time it was in effect, are used to determine the average salary, rather than any high-3 average salary. The new average salary and the length of service computed on the basis of all reemployment service and unused sick leave are applied in the formula to obtain the supplemental annuity.

d. Using Steps of General Formula. In determining which steps of the general formula to use, all the annuitant's service (before and after retirement) is added together. Unless the 1% plus $25 must be substituted, the 1¾% in Step 2 is applied to as much of their reemployment service as makes the total service between 5 and 10 years. The 2% in Step 3 is applied to as much of the reemployment service as makes the total service in excess of 10 years. (The result is a higher supplemental annuity than could be obtained if the general formula were applied to the reemployment service separately.)

.52 Recomputation of Annuity. If the final period of continuous employment consists of the equivalent of at least 5 years of service, the annuitant may at separation make a deposit to cover the reemployment service and elect a recomputation of annuity. By this election, the annuitant receives a complete recomputation of annuity based on the law in effect on the date of separation instead of existing annuity, plus the supplemental benefit. This special computation treats the annuitant as if retiring for the first time and gives the annuitant a new right of election as to the type of annuity, as well as any liberalization of benefits provided since original retirement.

567 Death Benefits

567.1 Survivor Annuity

.11 Conditions to be Met by the Employee. An employee's widow(er) and/or child(ren) qualify for a survivor annuity if the employee:

a. Completed at least 18 months of creditable civilian service, and

b. Died while employed in a position subject to the retirement system.

.12 Conditions to be Met by the Spouse. An employee's widow(er) qualifies for a survivor annuity if the spouse:

a. Was married to the employee for at least 1 year immediately preceding the employee's death, or

b. Is the parent of a child born of the marriage with the employee.

.13 Conditions to be Met by the Child

.131 General. The child (including a legally adopted one) of an employee qualifies for a survivor annuity if:

a. Under the age of 18 (or under the age of 22 and a student pursuing a full-time course of study in a recognized educational institution), and *(b)* unmarried.

.132 Child Incapable of Self-Support. A child who is over age 18 may be entitled to a survivor annuity if the child: (a) meets the requirements in 567.131 and (b) is incapable of self-support by reason of a mental or physical disability incurred before reaching age 18. (To determine whether the disability requirement is met, a child undergoes a physical examination which is arranged by the CSC without cost to the family.)

.133 Stepchild or Illegitimate Child. A stepchild or an acknowledged illegitimate child may be entitled to a survivor annuity if the child: (a) meets the requirements in 567.13 and (b) has lived with the employee in a regular parent-child relationship.

.14 Computation of Annuity For Survivors

.141 Widow(er)

a. Guaranteed Minimum. The law guarantees a minimum annuity to the widow(er) of an employee dying after October 19, 1969. The annuity is 55% of the smaller of:

(1) 40% of the deceased employee's high average salary, or

(2) The regular annuity obtained after increasing the deceased employee's service by the period of time between the date of death and the date that the deceased employee would have reached the age of 60.

b. No Restriction. The survivor annuity to the spouse is payable in addition to any benefit due (a) child(ren).

c. Regular Survivor Annuity Higher. When the regular survivor annuity of 55% of the deceased employee's earned annuity is higher than the guaranteed minimum, the regular survivor annuity is payable.

d. Periods of Refunds. In computing the survivor annuity, no credit may be allowed for (a) period(s) of service for which retirement deductions were refunded to the employee and the employee did not make a redeposit to cover the refund. The survivor may make the redeposit if the employee desires credit for the period(s) involved.

e. Non-Deduction Service. Time credit is given for (a) period(s) of *non-deduction service* for which neither the employee nor the qualified survivor has made deposit. However, the amount of annuity earned by the employee (the basis for determining the survivor's annuity) is reduced by 10% of the amount of the unpaid deposit.

.142 Widow(er) of a Law Enforcement Employee. If a law enforcement employee was 50 years of age or over at time of the employee's death and had completed at least 20 years of law enforcement service, survivor annuity for the widow(er) is computed as follows.

[(2½% of the employee's high-3 average salary × 20 years of law enforcement officer service) + (2% of the high-3 average salary × all service over 20 years, including credit for unused sick leave)] × 55%.

.143 Payment of Child's Annuity. A child's annuity is paid to a guardian if one has been appointed by a court. If no guardian is appointed, payments are made, at the discretion of the CSC, to the person who has the care and custody of the child:

a. Widow(er) Survives. The survivor annuity to (a) child(ren) is payable in addition to any benefit due a widow(er). If the deceased employee is survived by a spouse, the yearly survivor annuity payable to each child is the lesser of the following amounts:

(1) 60% of the employee's high-3 average salary divided by the number of eligible children, or

(2) The sum of $2,700, plus cost-of-living increases granted since October 20, 1969, divided by the number of eligible children, or

(3) The sum of $900, plus cost-of-living increases granted since October 20, 1969.

b. No Surviving Widow(er). If the deceased employee is not survived by a spouse, the yearly survivor annuity payable to each child is the lesser of the following amounts:

(*1*) 75% of the employee's high-3 average salary divided by the number of eligible children, or

(*2*) The sum of $3,240, plus cost-of-living increases granted since October 20, 1969, divided by the number of eligible children, or

(*3*) The sum of $1,080, plus cost-of-living increases granted since October 20, 1969.

c. Death of Widow or Widower. When a widow(er) dies, the annuity to each child still entitled to an annuity changes. The amount of annuity for each child is increased to that amount which would have been payable if the employee had not been survived by a spouse. This increase is given even though the spouse was not in receipt of a survivor annuity at the time of death.

d. Termination of Annuity to Child. Upon termination (for any reason) of the annuity to a child, the amount of annuity to (a) remaining child(ren) is increased to that amount which would have been payable had the child whose annuity is terminating had not been entitled to an annuity.

e. Cost-of-Living Increases.

(*1*) The following table shows the cost-of-living percent increases granted and the amount of annuity benefits payable to surviving children since October 20, 1969:

Survivor Rates for Children

Amount paid if:

Effective Date	*Percent Increase*	*Husband or Wife Survives*		*No Husband or Wife Survives*	
		[1]$2,700	[1]$ 900	[1]$3,240	[1]$1,080
11-01-69	5	2,835	945	3,402	1,134
08-01-70	5.6	2,994	998	3,593	1,198
06-01-71	4.5	3,129	1,043	3,755	1,252
07-01-72	4.8	3,278	1,093	3,933	1,311
07-01-73	6.1	3,478	1,159	4,173	1,391
01-01-74	5.5	3,669	1,223	4,403	1,468
07-01-74	6.3	3,902	1,301	4,682	1,561
01-01-75	7.3	4,185	1,395	5,022	1,674
08-01-75	5.1	4,398	1,466	5,278	1,759
03-01-76	5.4	4,637	1,545	5,563	1,854
03-01-77	4.8	4,860	1,619	5,830	1,943

[1] *Amounts specified in PL 91-93 approved October 20, 1969.*

(*2*) *Restriction.* The cost-of-living increases do not apply to the survivor benefits determined by the 60 or 75% part of the formula as the average pay reflects increases resulting from increased cost-of-living. The amounts in the Table 527.143e(1) are subject to future cost-of-living adjustments.

.15 Beginning Date for Survivor Annuity. A survivor's annuity begins the day after the date of death of the employee or annuitant.

.16 Conditions For Termination, Restoration, or Changes in Survivor Annuity. See table below.

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Widow(er) Dies	Annuity terminates on the last day of the month preceding the month in which death occurs.
Widow(er) who is Under 60 Years of age Remarries	Annuity terminates on the last day of the month preceding the month in which remarriage occurs.
Widow(er) who is over 60 Years of Age Remarries	Remarriage does not terminate annuity if the remarriage occurred after July 18, 1966.
Widow(er)'s Remarriage is Terminated	If remarriage occurred before age 60 but after July 18, 1966, annuity may be restored provided: (1) Remarriage is terminated because of annulment, divorce, or death of the spouse, *and* (2) Redeposit is made of any lump-sum which was paid at the time the annuity was terminated.
Child Marries, Dies, or Becomes 18 Years of Age	Annuity terminates on the last day of the month preceding the month in which child marries, dies, or becomes 18 years of age.
Child Who Is a Full-Time Student Becomes 22 Years of Age	Annuity terminates on the last day of the month preceding the month in which child becomes 22 years of age. *A student whose twenty-second birthday falls during the school year (September 1—June 30) is considered not to have attained 22 until the end of the school year.*
Child Who Is Over 18 Years of Age and Incapable of Self-Support Becomes Capable of Self-Support, Marries, or Dies	Annuity terminates on the last day of the month preceding the month in which child becomes capable of self-support, marries, or dies.

.17 Election of Annuity by Survivor

.171 *Election of Survivor Annuity or Employees' Compensation Benefits*

a. Not Concurrently. Except as noted in 567.171b, survivor annuities and survivor's compensation benefits under the Federal Employees Compensation Act are not payable concurrently if both are based on the death of the same employee. A survivor entitled to an annuity must elect one or the other. If all eligible survivors of a deceased employee elects to receive the compensation benefit rather than the survivor annuity, their rights to the survivor annuity terminate.

b. Exception. When a widow(er) is being paid the balance of a *scheduled* compensation award which was due the deceased employee. The widow(er) may receive the survivor annuity and the balance of the scheduled compensation award concurrently.

.172 Election of Survivor Annuity or Social Security Benefits. Survivors who are eligible for annuity based in part on military service performed by the employee between September 16, 1940, and December 31, 1956, and who are also eligible for social security benefits may elect to have such military service credited toward the social security benefit. However, if this election is made, the survivors' right to annuity is terminated. In practice, the survivors apply for both benefits and ask the CSC and the SSA for statements showing the amount of each benefit, and then make their elections as to where to credit the military service.

.18 Election by Annuitants and Resultant Survivor Annuities

Annuitant at time of Retirement Elects to Receive Annuity *Without* Survivor Benefit	Widow(er) does *not* qualify for survivor annuity.
Annuitant at Time of Retirement Elects to Receive Annuity *With* Survivor Benefit	Widow(er) *does* quality for survivor annuity.
Annuitant Acquires Spouse after Retirement and Elects a Reduced Annuity With Benefit to Spouse	Spouse is eligible for survivor annuity provided: (a) The spouse has been married to the retired employee for at least 1 year before the retiree's death or (b) The spouse is the parent of a child born of the marriage.
Annuitant Elects Reduced Annuity With Benefit to a Person *With Insurable Interest*	Designated person is eligible for survivor annuity.

.19 Deceased Annuitant Survived by Child. If a *deceased annuitant* is survived by (a) *child(ren),* the child(ren) would, regardless of type of annuity elected at retirement, be entitled to a survivor annuity under the same conditions and in the same amounts as the child(ren) of a *deceased employee.*

567.2 Lump-Sum Benefit

.21 Conditions for Payment. A lump-sum death benefit payment for retirement deductions and for any unpaid annuity (annuity accrued from date of last payment to date of death) is authorized by the CSC and is payable immediately:

a. Upon the death of an employee if the employee:

(*1*) Has less than 18 months of civilian service, or

(*2*) Leaves no widow(er) or (a) child(ren) entitled to a survivor annuity.

b. Upon the death of an annuitant if annuity payments have not exhausted the employee's lump-sum credit.

c. Upon termination of annuity payments to the survivor(s) of an employee or to the survivor(s) of an annuitant if total annuity payments have not exhausted the employee's or the annuitant's lump-sum credit.

.22 Person(s) Entitled to Payment. A lump-sum benefit is payable to the person(s) entitled to each benefit, in the following *order of precedence:*

First—To the beneficiary or beneficiaries designated by the employee or annuitant.
Second—To the widow(er).
Third—To the child or children in equal shares, with the share of any deceased child distributed to the descendants of that child.
Fourth—To the parents in equal shares or the entire amount to the surviving parent.
Fifth—To the duly appointed executor or administrator of the estate.
Sixth—To the person(s) entitled under the laws of the state in which the employee was domiciled at the time of death.

.23 Designations of Beneficiaries

.231 Employee Informed. At the time that an employee enters on duty in a position subject to the Retirement Act, the installation informs the employee that:

a. Lump-sum benefits under the retirement system, umpaid compensation (567.3), and Federal Group Life Insurance are paid to the person(s) entitled in the order of precedence shown in 566.22.

b. A designation is made if the employee wishes: (1) to name person(s) not mentioned in the order of precedence, or (2) to change the order of preference or the amount of shares.

c. A designation of beneficiary is for lump-sum benefit purposes only and does not affect the right of any person qualified to receive survivor annuity benefits. Survivor annuity benefits are payable either (1) by operation of law or (2) as a result of an election made by a retiring employee.

.232 Forms

a. The installation furnishes the employee with a blank SF 2808, *Designation of Beneficiary,* if the employee requests one. The form is filed with the CSC.

b. SF 54 is the designation of beneficiary form for Federal Life Insurance.

c. SF 1152 is the designation of beneficiary form for unpaid compensation.

.233 Employee Reminder. Each installation periodically reminds employees that beneficiary designations may be changed to reflect changes in family status.

567.3 Lump-Sum Benefit—Money or Compensation Due (Unpaid Compensation)

.31 Definition. *Unpaid compensation* is pay and allowances due a deceased postal employee for the performance of services. It includes, but is not limited to:

a. Amounts of checks for pay and allowances which were not delivered by the USPS to the employee during the employee's lifetime.

b. Amounts of uncashed checks for pay and allowances returned to the USPS because of the employee's death.

c. Payment for accumulated annual leave and for unused annual (current) leave actually earned during the year of death. Payment for such leave is equal to the pay the deceased employee would have received had the employee lived and remained in the Postal Service until the end of the period of annual leave.

d. Amounts due as refund of pay deductions for U.S. Savings Bonds.

e. Amounts due for payment of cash awards for employees' suggestions.

f. Quarters and cost of living allowances.

g. Allowances on change of official station.

h. Amounts due for the performance of official travel.

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.32 Payment of "Compensation or Money Due"

.321 Order. Payment of unpaid compensation is made in the *following order of precedence.* Payment bars recovery by another person of the amounts so paid:

First—To the beneficiary or beneficiaries designated by the employee in writing received in the USPS before the employee's death.

Second—If there is no designated beneficiary, to the employee's widow(er).

Third—To the employee's child(ren), and to the descendants of deceased children by representation.

Fourth—To the parents in equal shares or the entire amount to the surviving parent.

Fifth—To the duly appointed executor or administrator of the state.

Sixth—To the person(s) entitled under the laws of the state in which the employee was domiciled at the time of death.

.322 Missing Beneficiaries

a. First Beneficiary Does Not Claim. When the person(s) otherwise entitled to payment has /have not submitted a claim and cannot be located within 2 years after the death of the employee, payment is made to the person(s) in the same class of entitlement, or, in the absence of anyone in the same class, then to the person(s) next in order of precedence as described in 565.321.

b. Postal Service Decision. If, within 2 years after the employee's death, a claim for unpaid compensation is not filed by a person entitled under the order of precedence, and neither the employee's installation nor the PDC has received notice that such a claim will be filed, payment may be made to the claimant who in the judgment of the USPS is equitably entitled to it. Payment made pursuant to this paragraph bars recovery by another person.

567.4 Procedure Upon Death of an Employee or Annuitant

.41 Contacting Next of Kin. When an employee dies, the installation a) contacts the next of kin or emergency addressee and advises such person of benefits payable and of the right to apply for them, and b) renders every assistance in completing: SF 2800, *Application for Death Benefits,* FE 6, *Claim for Death Benefits (Life Insurance),* and SF 1153, *Claim of Designated Beneficiary and/or Surviving Spouse for Unpaid Compensation of Deceased Civilian Employee.*

.42 Notifying the CSC. The CSC is notified of the death of an annuitant as soon as possible. On receipt of the death notice, the Commission a) initiates the filing of the *Application for Death Benefits* (SF 2800) and b) informs the interested parties of their rights.

.43 Filing Death Claim Applications

.431 SF 2800. The applicant files *SF 2800* with the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415.

.432 Minor Children. SF 2800 and other death claim applications are filed on behalf of minor children by the guardian appointed by the court or, if no guardian has been or will be appointed, by the person having care and custody of the children.

.433 One Application. If widow(er)s are entitled to a benefit in their own right and also on behalf of the children, they file only one SF 2800.

.434 *SF 1153* is filed through the installation to the appropriate PDC.

.44 Evidence

.441 Required. Every *Application for Death Benefits* is accompanied by a) a certified copy of the death certificate issued for the employee and b) other evidence called for by the application.

.442 Additional. The CSC determines what benefits are payable under the retirement system and, depending on the type of benefit payable and other circumstances in a particular case, may request the applicant to submit additional evidence. Such request does not normally delay settlement.

568 Management Initiated Disability Retirement Procedures

568.1 General. Management may initiate retirement procedures if:

a. The employee's deficient service is caused by a possible health problem, and

b. The employee meets the eligibility requirements of 561.1 and 563.62.

568.2 Initial Procedures

.21 Special Retirement File

.211 Preparation. A special retirement folder is prepared if the employee's performance, attendance, or behavior is below an acceptable level and a preliminary determination points to a health problem as the probable cause of the deficient service. File information in the folder which indicates:

a. The employee's service is neither useful nor efficient (based on performance, attendance or leave record, behavior, etc.).

b. The apparent cause of the employee's deficient service is a mental or a physical illness or an injury that is not temporary in nature.

.212 Document Deficiencies. Information in the special retirement file may include knowledge of illness, accident, or hospitalization. Evidence primarily documents deficiencies in service rather than illness or injury. This file may not contain medical records.

.213 Sufficient Evidence. To be sufficient, the evidence contained in the special retirement file should be such that management would consider the employee's removal from the service under applicable adverse action procedures if medical findings do not support disability retirement. The exception occurs when an issue of safety of life or property, or an issue of security clearance, can be decided only upon the basis of the state of the employee's physical or mental health.

.214 Available Alternatives. The special retirement folder also contains information on available alternatives that may solve the employee's problem. The alternatives may include, but are not limited to: reassignment, retraining, temporary details, transfer to another agency, etc.

.22 Discussion with the Employee

.221 Right to Representation

a. Employees are informed that they may name anyone that they wish to represent, advise, and assist them. Suggested choices are: a family member, clergyman, union officer, veterans service officer, attorney, fellow employee not supervised by the employee's supervisor, etc.

b. If an employee does not name a representative, and it is determined that the employee's interests require one, management may name a representative to receive notices, determinations, decisions and other written communications. Appointment of a representative is required under the procedures for a fitness for duty psychiatric examination (568.32).

c. Any communication given to the employee under these procedures is also given to the representative. If the employee cannot be served with a communication, service on the representative is considered service on the employee.

.222 Problem Discussed

a. Alternatives. The problem is discussed with the employee. Employees are thoroughly informed of the advantages and disadvantages of the alternatives (568.214) that are open to them.

b. Employees' Views. Employees' views and opinions as to how the problem can be solved are obtained.

.223 Written Summary

a. A written summary of the discussion is prepared (word-for-word transcript not required).

b. The employee is given a copy and a summary is filed in the special retirement folder.

c. If the employee is not available for a discussion, the reasons are recorded in the special folder.

.23 Review of Employee's Special Retirement File

.231 For Solution. The special retirement file is reviewed to establish a solution to the problem, based on available alternatives (568.214) and discussion with the employee (568.22).

.232 By Medical Officer. A medical officer reviews the file, gives an opinion on its contents, explores and offers possible medical solutions to the employee's problem. If a medical officer is not assigned to the installation, the file is sent to the appropriate medical officer by registered mail.

.233 By Coordinator for the Handicapped. The coordinator for the handicapped reviews the file to determine possible assignments under the *Employ the Handicapped Program.*

.234 By Management (Summary of All Reviews). The reviews are summarized. Any alternative course of action established is included. The summary is then placed in the special retirement file.

568.3 Fitness for Duty Examination

.31 Physical Examination

.311 Employee Directed to Report for Examination. If an alternative course of action is not possible, the installation head may direct the employee to report for a fitness for duty examination, at no cost to the employee.

.312 Sufficient Evidence—No Examination Required. If a medical officer determines medical information on file is adequate to support the opinion that the employee's deficient service is caused by illness or injury, a fitness for duty examination is not necessary.

.313 Inadequate Evidence—Examination Required. If a medical officer determines that medical evidence on file is inadequate, the medical officer, with the assistance of the employee's supervisor, determines whether the possible health problem can be evaluated by: (a) a general physical examination, (b) a specific examination conducted by a specialist in a physical disorder, or (c) a psychiatric examination.

.314 Maintain Medical Records. Medical records resulting from fitness for duty examination are maintained by the medical officer and are not made a part of the supervisor's special retirement file.

.315 Notice to Employee. If it is determined that a physical examination is necessary, the employee is notified in writing to report for the examination. The notice includes:

a. A statement of the general scope and character of the examination.

b. An explanation of the reasons for the examination.

c. Instructions on how to participate in the selection of a medical officer if the employee desires to do so.

d. Advice of the employee's right to be represented. (*See sample letter*—568.323.)

.316 Availability of Other Medical Information. The information in the employee's retirement file relating to a possible health problem is given to the medical officer at the time the examination is scheduled. This information is also available to the employee or to a physician named in writing by the employee.

.317 Medical Officer's Opinion. The medical officer furnishes an opinion as to whether the employee is to be given further testing or examination.

.318 Further Examination. Further testing or examination may not be ordered unless recommended by the medical officer.

.319 Employee Refuses Examination. In the event the employee refuses to be examined and is unwilling to select a different medical examiner, management may consider bringing charges against the employee which may include a charge of refusing to report for an examination as directed, as well as charges based on deficiencies in performance or conduct.

.32 Psychiatric Examination

.321 Requirements. A psychiatric examination may be ordered if:

a. There is a request for a psychiatric examination based on the below stated circumstances:

(1) The employee's supervisor (or other manager familiar with the employee's job performance) decides that the employee's behavior has been of a nature that suggests possible mental or emotional illness. In consultation with the medical officer (or contract physician) the supervisor may recommend that a psychiatric examination be included as part of the fitness-for-duty examination; or

(2) The medical officer (or contract physician) based on medical observations made during a fitness-for-duty examination recommends a psychiatric examination; and

b. At least two members of a three-member panel of postal officials, consisting of the employee's supervisor, the Director of Employee and Labor Relations (or designee) and the medical officer agree that a psychiatric examination is warranted. If a medical officer is not available, the file should be forwarded to a conveniently located medical officer for review and opinion as to whether a psychiatric examination is warranted.

.322 Procedures. If a psychiatric examination is to be ordered:

a. Employee Names Representative. Appointment of a representative for the employee is required. Employees may name their own representative at any time.

b. Employee Refuses to Name Representative. If the employee does not name a representative voluntarily, a management official urges the employee to do so before a fitness for duty psychiatric examination is ordered by the Medical Officer.

c. Management Appoints Representative. If the employee persists in not naming a representative, management appoints one to receive copies of all notices, determinations, decisions and other written communication issued to the employee under these procedures. Management may choose a member of the employee's family, union officer, veteran's service officer, or an employee not under the supervision of the affected employee's supervisor.

d. Employee Notified. The employee is notified in writing to report for the examination as indicated in 568.324.

e. Employee's Objection to Named Psychiatrist. The employee who objects to the psychiatrist named by the medical officer is requested to submit the names of 3 to 5 medical board-certified psychiatrists to whom the employee would be willing to report. The Medical Officer then selects a psychiatrist from the list and management arranges for an examination.

f. Information Available to Psychiatrist. All available information pertinent to the employee's possible health problem is given to the psychiatrist at the time the examination is scheduled.

g. Information Available to Licensed Physician. The Medical Officer makes available a full report of the medical evidence in the employee's file (including a copy of the reported behavior irregularities or evidence of unsatisfactory service) *only to a licensed physician, named in writing for that purpose by the employee or his representative.*

h. Documenting Information. All instances of alleged behavioral deficiencies on which the decision to order a psychiatric examination was based are documented in the event the employee refuses to cooperate. This lay evidence may serve as the basis for an agency-filed application for disability retirement in the case of an emotionally disturbed employee.

i. Restriction. Management may not review medical records. Management bases its decisions on the final opinion of the medical officer once that official has had an opportunity to evaluate information provided by management and the psychiatric examination.

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.323 Sample Letter. The letter in Exhibit 568.323 is intended only as an example of the kind of notice management might give to an employee.

U.S. Postal Service
Washington, DC 20260

Dear Mr. Smith:

You are directed to report to Dr. Albert Jones, Medical Officer of Federal Agency, at 9:00 a.m. on July 12, 1977, for a physical examination. The examination will be without cost to you and will be conducted in Room 1234, Federal Office Building 29, 5678 18th Street, N.W., Washington, DC 20415.

The purpose of this examination is to determine your fitness for duty in your regular position. The condition of your health is considered a possible cause of deficiencies in your service as observed by Mr. Brown, your supervisor. The following service deficiencies have been noted:

(The installation will supply specific details regarding service deficiencies).

If you cannot appear for the scheduled appointment, please contact Dr. Jones to arrange for a different time. If you do not want to be examined by Dr. Jones, please furnish the Medical Officer with the names and addresses of three to five physicians that you would be willing to have examine you. The physicians that you select must be board-certified specialists in (name the specialty, for example, orthopedics). They may be private physicians or federal medical officers. The address of the medical officer to whom you should respond is ______________________________.

You have the right to name a representative to act in your behalf in matters related to the examination and to any subsequent transactions. You may name a family member, clergyman, fellow employee, or an attorney as a representative; or you may obtain the services of a representative through a veteran's or employee's association if you are a member of such an organization. You may choose anyone you wish; but you will have to pay any expense involved in obtaining the service of a representative.

The above named medical officer may be contacted if you are interested in receiving any medical records which are related to this matter.

Sincerely,

(S) Joseph J. Johnson
General Manager
Operations Division

Exhibit 568.323—Order to Report for Fitness for Duty Examination

568.4 Interview Decision Period

.41 Active Duty Retention. An employee is to be retained in an active duty status until the CSCs Bureau of Retirement, Insurance and Occupational Health makes a decision on the management-initiated disability retirement application.

.42 Exception is made and employees may be placed on sick or annual leave, with or without their consent, if the medical officer determines that the medical evidence clearly indicates that retaining an employee in active duty status may:

a. Result in damage to USPS property.
b. Be detrimental to the interests of the USPS.
c. Be injurious to the employee, to fellow workers, or to the general public.

.43 Suspension. If the employee's sick or annual leave account is, or becomes exhausted, any action taken suspending the employee or placing the employee on involuntary LWOP must be in accordance with applicable adverse action procedures.

568.5 Notice to the Employee. The employee is notified in writing when it is determined that deficiencies in the employee's service have been established and are caused by disease or injury. The written notice contains the following:

a. Reasons for the determination. When a medical officer hesitates to fully inform the employee of the details of the employee's physical or mental condition, the medical evidence is given only to a licensed physician named in writing by the employee with the understanding that professional judgment be used in deciding how much information to disclose to the employee or representative.

b. Explanation of the employee's rights: (1) to reply orally or in writing, or both; (2) to receive instructions for submitting this reply; (3) to submit affidavits or documentary evidence, or both, within 20 calendar days; and (4) to appoint a representative if one has not already been designated.

c. Advice of the employee's rights: (1) to review the retirement file and related medical file; (2) to obtain copies of any records at no expense to the employee. (This right extends to the employee's physician or representative but is limited to a designated licensed physician if knowledge of the disability could be harmful to the employee), and

d. Name of the official designated to receive the employee's reply.

568.6 Consideration of Employee's Reply

.61 Action Taken. If an employee replies to the written notice, the following action is taken:

a. All documentary evidence, such as medical reports, hospital records, affidavits, etc., submitted by the employee is reviewed and included either in the retirement file or the related medical file as appropriate.

b. If the employee's reply is oral it is summarized in writing and included in the file. An additional copy of the summary as approved, or supplemented, by the employee is also included in the retirement file.

.62 Employee Corrections. Employees may amend their copy of the summary or submit correction or supplemental material within 5 calendar days from the date the original summary was made.

.63 Management Decision. The designated management official decides or recommends whether to file an application for the employee's retirement on disability.

568.7 Final Decision

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.71 Written Notice. The medical officers record their opinion(s) as to whether the deficiencies in the employee's service are caused by disease or injury not due to vicious habits, intemperance or willful misconduct within the preceding 5 years. Management then gives the employee a written notice concerning:

a. A statement of findings and conclusions.

b. The installation's decision in the case. (Example: No action is taken, the employee is reassigned, or the agency is filing application for the employee's disability retirement.)

.72 Management Action. If the decision is that the employee should be retired, the installation:

a. Prepares an application, filing for the employee's disability retirement.

b. Prepares a statement, explaining the employee's refusal to file the application on his behalf.

c. Completes Item 15 on SF 2801-A, *Superior Officer's Statement,* certifying that there is no suitable position vacant for which the employee is qualified and which the employee is willing to accept in lieu of retirement.

d. Reviews the employee's retirement file, to assure that all procedures have been followed and that all notices, documentary evidence, affidavits, summaries or oral answers (with amendments or supplements), decisions, and all documents pertinent to the application have been filed.

e. Obtains the related medical records under a sealed cover marked "Restricted—Medical Information" from the medical officer.

f. Transmits the entire file including the sealed medical records under procedures in 563.6.

568.8 Civil Service Commission Adjudication

.81 Review of the File. The CSC may return the entire file to the installation for such action as the circumstances warrant if: a) the required procedures were not observed or b) the employee refuses to report for an examination and the evidence on file is not sufficient for a decision. (The Commission notifies the employee if the case is returned for this reason.) If the case file conforms to required procedures, the Commission notifies the employee and the installation of receipt of the application. The same notice informs the employee of:

a. Employees' rights to be examined without cost to them (and of their right to participate in selection of the medical examiner).

b. Employees' rights to submit medical or lay evidence as to their medical condition or job performance.

c. The necessity of an examination to obtain further evidence.

.82 Notification of CSC Decision. When all evidence is evaluated, the Commission's Bureau of Retirement, Insurance and Occupational Health makes its decision and notifies the agency and the employee. The notice of decision gives full instructions on how to appeal the decision to the appropriate field office of the Federal Employee Appeals Authority (FEAA) and on how to request a hearing.

.83 Appeals

.831 Who May Appeal. The employee or Postal Service Management may appeal an adverse decision by the Commission's Bureau of Retirement, Insurance and Occupational Health, to the FEAA.

.832 15 Days. The party adversely affected may appeal within 15 days after receipt of the Commission's notice and may request a hearing. The appeal must be in writing, giving the reasons for contesting the adverse decision. The appellant may submit additional proof and pertinent documents to support the appeal.

.833 Appeal Procedures. Details of the appeals procedures are in the Federal Personnel Manual (FPM), Part 754 of CSC regulations and FPM Chapter 772, Subchapter 3-2. Guidance may be obtained from the Regional Employee and Labor Relations Division if information is needed from the Federal Personnel Manual and the manual is not available in the installation.

.834 Requesting a Hearing. Either the installation or the employee may request a hearing which is conducted by the appropriate field office of the FEAA. The convenience of all parties concerned is considered in determining the location of the hearing. If no hearing is requested, the decision on the appeal is based on the written record. Both the installation and the employee are notified of the decision. When necessary to resolve a medical question, the appeals examiner may obtain the advice of any disinterested physician.

.835 Board's Decision Final. Within 15 calendar days of receipt of the notice from the FEAA, either the employee or the agency may further appeal to the Commission's Appeals Review Board. The decision of the Board is final. There is no right to a hearing before the Board.

569 General Retirement Information

569.1 Retirement Counseling

.11 Policy

To the extent possible, assistance on retirement benefits and preparation for retirement is given to employees who are nearing retirement age or who are considering retirement. Regional Postmasters General encourage installation heads to (a) assist employees and (b) provide information and training to retirement counselors. They also encourage installation heads of small offices to pool their resources in providing counseling assistance to interested employees.

.12 Individual Counseling

.121 Requirement

On request, interested employees are given individual pre-retirement counseling. Counseling is done by an official who can provide detailed information on the Civil Service Retirement System and the health benefits and life insurance programs. The official directs the employee to community or private sources for retirement planning information not available in the installation. These interviews are "on the clock" if the interviewer is available during the same tour as the employee seeking advice.

.122 Interview

a. Clarifies the employee's work and leave status up to the date of retirement.

b. Identifies additional documents, proofs, affidavits, etc., necessary.

c. Clarifies advantages, if any, of deposits or redeposits.

d. Provides information on alternate forms of retirement.

e. Provides basic annuity estimates to assist employees in making their decision.

.123 Form 2411, Check List for Pre-Retirement Interview gives additional information regarding aspects of retirement that are covered during the interview with the employee or employee representative.

.124 SF 2815, Employee Service Statement records the retiring employee's total creditable service and the type of retirement benefit to which the separating employee is or may be entitled. This form is given to all employees who are retiring and to all other employees who separate from the service for any reason.

.125 Information Reference. Sources from which the employee may obtain information on such topics as wills, investments, personal insurance, etc., may be pointed out to the employee.

.126 Advice to Employee. Employees are cautioned that although they may be given information on various provisions and options under the retirement law, final choice on these matters (except in the case of management-initiated disability retirement) are their own personal decisions. Further, employees are cautioned that any estimate of annuity is preliminary and subject to final determination by CSC.

.13 Survivor Counseling and Assistance

Installation heads promptly inform a deceased employee's survivor of benefits which may be due and assist in preparing the necessary applications. Assistance, to the extent practicable, is also given to survivors of annuitants.

.14 Group Counseling and Assistance

.141 Objectives and Responsibility. Group retirement planning programs provide employees with: a) general information on retirement, b) aging problems and c) general information on available federal and local community services. Such programs attempt (1) to motivate employees to constructively plan for their retirement years, and (2) to assist them in anticipating some of the opportunities and problems that retirement brings. Group counseling may be initiated by individual installation heads or may be under the overall leadership of the Regional Postmaster General. Group counseling is supplementary to, but not a substitute for, individual counseling prescribed in 569.12.

.142 Location and Participation. Group counseling sessions may be held on USPS premises, if available, or in any other available place. Employees within 2 to 5 years of retirement age and employees actively considering retirement are encouraged to attend. Participation is voluntary and off-the-clock and may include husbands and wives. The important aspects of retirement may be adequately covered in approximately 6 to 8 sessions of 2 hours each.

.143 Suggestions for Program Content

a. Income and Financial Affairs
  (*1*) Civil Service Retirement.
  (*2*) Social Security Benefits.
  (*3*) Unemployment Compensation.
  (*4*) Veterans Benefits.
  (*5*) Budgeting.
  (*6*) Federal and State Income Taxes.
  (*7*) Insurance and Health Benefits.
  (*8*) Investments.
b. Legal Affairs
  (*1*) Contracts.
  (*2*) Acquiring and Disposing of Property.
  (*3*) Legal Advice.
  (*4*) Record of Important Documents.
c. Health
  (*1*) Food and Nutrition.
  (*2*) Psychological Problems of Retirement.
  (*3*) Problems of Physical Health.

d. Retirement Activities
  (*1*) Employment (including volunteer work).
  (*2*) Hobbies.
  (*3*) Recreation.
  (*4*) Travel.

e. Family and Social Relations.

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569.2 Retirement Forms

.21 P-11, Personnel Operations Handbook, contains information on processing retirement forms in connection with personnel actions.

.22 Requisitioning Forms. Installations are expected to maintain a supply of retirement forms sufficient to meet anticipated needs. Such forms are requisitioned from the area supply center under regular requisitioning procedures.

569.3 Retirement Account Information

The official individual retirement records are maintained by the PDC. Questions pertaining to an employee's retirement account (including the amount of retirement deductions) which cannot be answered locally are forwarded by management to the retirement section of the PDC. The individual's retirement records covering service in any federal agency or prior postal service with a break in employment of 4 days or more are on file in CSC.

569.4 Information Source for Separated or Retired Employees

Questions relating to the amount of annuity to which a separated or retired employee is entitled, or to specific benefits of survivors of employees or of annuitants, are referred to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, D.C. 20415.

569.5 Information Source for Employees

.51 *Administration/Interpretation Questions.* Questions relating to administration, or questions requiring interpretation of the Civil Service retirement law or regulations, are referred to the Manager, Compensation Division, of the appropriate regional office. Regional officials may refer such inquiries to the General Manager, Compensation Services Division, Office of Compensation, Washington, DC 20260.

.52 *SF 105.* At the time an employee is given an initial career appointment, or is converted to a career status, or is otherwise placed in a status which places the employee under the retirement system, the employee is given a Certificate of Membership in the Civil Service Retirement System, SF 105. SF 105 contains basic information on the retirement system and a chart for estimating approximate benefits.

.53 *SF 2815.* An employee who is converted to a career status or otherwise made subject to retirement deductions or a new hire with previous creditable Federal Service is furnished SF 2815, *Employee Service Statement.* This form lists the employee's total creditable service. The employee is instructed to preserve the form as valuable personal papers for future planning for career movement, financial security, and retirement.

569.6 Federal Income Tax Benefit

.61 Nondisability Retirement. An employee who retires under the nondisability provisions of the retirement law does not pay income tax on annuity until the employee has received annuity payments equal to the amount contributed to the Civil Service Retirement Fund.

.62 Disability Retirement

.621 Sick Pay/Disability Exclusion

An individual must meet all the following provisions to exclude up to $5200 of disability annuity from federal income tax under the sick pay/disability exclusion:

a. The taxpayer retires on disability and is permanently and totally disabled for any substantial gainful employment.

b. The taxpayer is under age 65 during any year in which the exclusion is claimed. (The exclusion ends at the beginning of the year in which age 65 is attained or at the beginning of an earlier year in which the taxpayer makes an irrevocable election not to have the exclusion apply.)

c. If the taxpayer's income from all sources exceeds $15,000, the amount of annuity which may be excluded from tax is reduced $1 for each dollar of income over $15,000. If the taxpayer is married at the close of taxable year, the disability exclusion is available only if the taxpayer and spouse file a joint return for the taxable year, except in the case of a husband and wife who lived apart at all time during the taxable year.

.622 Total and Permanent Disability. Employees who retire under the disability provisions of the Civil Service Retirement Law (total disability for the position held at retirement) must prove to the satisfaction of the Internal Revenue Service that they meet the definition of disability contained in the new tax law (total and permanent disability for any substantial gainful employment).

.623 65 or Over at Retirement. Under the Tax Reform Act of 1976, there is no income tax advantage for disability retirement of employees who become 65 or over in the calendar year in which they retire. The sick pay/disability exclusion ends no later than the beginning of the year in which age 65 is attained.

.624 Under 65. For employees under age 65, clear-cut advice cannot be offered regarding the income tax advantage of disability retirement versus optional retirement because the definition of disability in the new tax law is different and more stringent than the definition of disability in Civil Service Retirement Law. From a retirement standpoint, optional retirement can be processed more rapidly as the employee is not required to go to the time and expense of documenting disability for retirement purposes. Disability retirement is still advantageous to the disabled employee who has less than the 12 years of creditable service required to continue health and life insurance coverage into retirement. (See 520 and 530.)

.83 Federal Income Tax Questions. Questions relative to disability tax regulations or any aspect of federal income tax are referred to the District Director of Internal Revenue.

569.7 Privacy Act Considerations

.71 General. Retirement records contain information about individuals. As such they may be handled and disclosed only in accordance with the Privacy Act and implementing instructions.

.72 CSC Records. Those records which are sent to the CSC become the Commission's records. Retired employees making privacy requests specifically for those records should therefore direct their requests to the Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Washington, DC 20415.

.73 USPS Records. Copies of an individual's retirement records and related correspondence may be maintained within the USPS in one of two ways: either in the personnel area as part of the privacy system entitled *USPS 120.070, Personnel Records—General Personnel Folders (Official Personnel Folders and Records Related Thereto)* or in the PDC as part of the privacy system entitled *USPS 050.020, Finance Records-Payroll System.* Employees making requests specifically for access to or update of these records direct their requests to the nearest USPS personnel office for processing.

570 Social Security

571 Social Security Administration

571.1 Responsibilities. The Social Security Administration is responsible for administering the following social security benefits programs:

Retirement benefits.
Disability benefits.
Survivor benefits.
Medicare (Hospital and Medical benefits).

571.2 Inquiries. Direct inquiries concerning social security matters to the nearest office of the Social Security Administration, or to:

Social Security Administration
6401 Security Boulevard
Baltimore, MD 21235

571.3 Identification Data. On all correspondence include the covered employee's:

a. Full name.
b. Date of birth.
c. Social security number.

572 Coverage

572.1 Employees Covered:

a. Casual employees.
b. Temporary employees.
c. Substitute rural carriers.
d. Auxiliary rural carriers.
e. Other employment not covered by Civil Service Retirement and not excluded by 572.2.

572.2 Employees Excluded:

a. Contractors such as mail messengers, star route contractors, clerks in charge of contract stations, and job cleaners.

b. Special delivery messengers paid on a fee basis.

c. Persons hired because of an emergency such as fire, flood, or earthquake.

d. Individuals whose employment is covered by the Civil Service Retirement System or by any other federal retirement system.

573 Social Security Contributions

573.1 Federal Insurance Contributions Act (FICA) Taxes

.11 Employee/Employer Payments. The USPS and covered employees each pay equal amounts of FICA taxes to the U.S. Treasury Department through employee payroll deductions and matching USPS contributions.

.12 Effective Percentage Rate. Through 1977, employees and the USPS each paid 5.85% on the employees' annual earnings (including overtime and night differential pay). Future rate increases are scheduled. *Example:* From 1978 through 1980, the employee and employer each pay 6.05%.

.13 Base Earnings. The maximum amount of annual earnings that can be used for social security purposes and on which contributions are based was $16,500 in 1977. The annual earnings maximum will rise automatically in the future as earnings levels rise.

.14 FICA Inquiries. Direct inquiries on FICA deductions to the director of the appropriate PDC.

573.2 Allowances Not Subject To FICA Taxes:

a. Uniform allowances.

b. Territorial cost-of-living allowances paid to employees in Puerto Rico, Virgin Islands, Hawaii, Alaska, and Guam.

574 Benefits

574.1 Application Required. Social Security benefits are not paid automatically. Claimants must file an application for benefits with the Social Security Administration.

574.2 Retirement Benefits. A fully insured employee is eligible to receive monthly retirement benefits as early as age 62 but at a reduced rate. Employees receive the full benefit rate if they wait until age 65 before filing for benefits. The employee's fully insured status permits the payment of benefits to certain dependents. Consult the Social Security Administration for complete details.

574.3 Disability Benefits. Employees may be eligible for disability benefits if they are under age 65 and are unable to engage in any gainful employment because of physical or mental disability which has lasted or is expected to last at least 12 months. Benefits may also be payable to certain dependents. (Consult the Social Security Administration for full explanation).

574.4 Survivor Benefits. Payment of child's, mother's, and other survivors' benefits is dependent upon the deceased employee's insured status. (Consult the Social Security Administration for complete details.) In addition to monthly survivors' payments, a lump-sum payment is made to:

a. The surviving spouse if living in the same household with the employee at the time of the employee's death, or

b. The person who pays the funeral expenses, or

c. The funeral home.

574.5 Medicare (Hospital and Medical)

.51 Purpose. Medicare is a Social Security program set up to help all Americans age 65 and older, and many severely disabled people under 65, to pay for health care.

.52 Coverage. Medicare consists of:

a. Hospital insurance which helps pay for in-patient hospital care and for certain follow-up care after leaving the hospital, and

b. Medical insurance which helps pay for doctors services, outpatient hospital services, and many other medical items and services not covered by hospital insurance.

.53 Eligibility for Medicare

.531 Age 65 or Older. Practically everyone 65 or older is eligible for Medicare.

.532 Under Age 65. The following people under 65 are eligible:

a. Disabled people who have been receiving (or who are entitled to) social security disability benefits for two consecutive years, or more

b. People insured under social security (and their spouses and children) who need dialysis treatment or kidney transplants because of chronic kidney disease.

.533 Automatic Hospital Insurance Protection. Everyone 65 or older who is entitled to monthly social security or railroad retirement benefits receives hospital insurance automatically without paying monthly premiums. Those 65 or older who are not automatically entitled to hospital insurance can buy this protection for a monthly premium.

.54 Medicare Information. Contact the Social Security Administration (see 571.2) for complete information about Medicare.

575 Continuing Federal Group Life Insurance Into Social Security Retirement

575.1 Regular Life Insurance

.11 Retention. Insured employees who retire under the Social Security Act retain Regular Life Insurance (not Accidental Death and Dismemberment) if they meet all the conditions for eligibility required by life insurance regulations. (See 536)

.12 Cost. There is no cost to the employee for Regular Life Insurance before or after retirement.

575.2 Optional Life Insurance

.21 Retention. Insured employees who retire retain optional insurance (not Accidental Death and Dismemberment) if they are eligible to continue regular insurance (see 536) and have had optional life insurance for no less than the period specified in the life insurance regulations. (See 536.12.)

.22 Cost. The full cost of optional insurance is withheld from retired employees' social security payments until they reach 65. Thereafter, there is no cost to the employee for optional insurance.

.575.3 Procedures for Certifying Life Insurance Status

.31 Employing Office:

a. Prepares SF 56, *Agency Certification of Insurance Status,* at the time the employee is separated.

b. Informs retiring employees that they are responsible for submitting all required documents to the Social Security Administration.

.32 Retiring Employees:

Attach SF 56 and any valid SF 54, *Designation of Beneficiary,* to their application for Social Security benefits and send to the appropriate Social Security District Office.

.33 Social Security Administration:

a. Certifies the employee's retirement status on SF 49, *Certification of Insured Employee's Retired Status.*

b. Forwards SF 49 to the CSC.

.34 Civil Service Commission:

a. Determines whether the employee meets the requirements for continuing life insurance as a retired employee.

b. Informs the employee and the Social Security Administration of its determination.

580 Work Clothes and Uniforms

581 Uniforms

581.1 Entitlement and Allowances

.11 Certain employees must wear prescribed uniforms in performing their duties. These employees are entitled: (a) to a uniform allowance to purchase authorized uniform items or (b) to be furnished uniforms which meet USPS specifications.

.12 The annual allowance authorized each employee covered by a collective bargaining agreement is determined by the terms of that agreement. Allowances for other employees are set as a matter of policy.

581.2 Purpose and Scope

.21 Uniforms. Uniforms are provided to certain employees for the following reasons:

a. To provide immediate visual identification with the USPS to the public.

b. To project an appearance to the public which is neat, professional and pleasing.

c. To help develop in the employee a feeling of esprit de corps.

d. To meet standard professional practices (doctors, nurses, etc.).

.22 Work Clothes. Work clothes are provided to certain employees:

a. Who perform toxic or dirty work.

b. When it is important that they be recognized and identified with the USPS, work clothes are provided for employees who work in public view.

c. To certain full-time employees working full time in areas where work clothing is essential.

.23 Personal Appearance. Supervisors are responsible for continually observing the uniforms of employees and reporting employees who are improperly attired to the postmaster or installation head. Appropriate disciplinary action is taken in accordance with the National Agreement against employees violating uniform regulations.

.24 Administration of Uniform Policy. Items of uniform dress are listed in 583.1. These lists include all items to which allowances are applicable that employees in these categories may be required to wear under various circumstances (see 586.15). The lists do not mean that every employee is required to acquire and wear every one of the items at some time during service in the category. On the contrary, the list for each of several categories contains a number of items that some employees in a particular category may never need to wear. It is the intent of these regulations that appropriate items for wear in matters of this kind be determined at the installations, in accordance with collective bargaining agreements and USPS policy.

.25 Responsibility of Installation Head:

a. Posts a list of uniform items authorized for the installation. The list indicates those items which are required and those which are optional to the employee.

b. Enforces all uniform allowance regulations and prevents abuses.

c. Makes all rules and regulations governing uniform clothing and accessory purchases readily accessible to all employees and vendors.

.26 Responsibility of Employees

.261 Appearance. Postal employees are responsible for being adequately and properly dressed for duty. They are expected to maintain high standards of appearance, representing to the public the best tradition of service and efficiency while performing their official duties. Uniform garments should be properly fitted and maintained in a clean, neat, and serviceable condition.

.262 Conforming with Regulations. Uniformed employees are responsible for conforming with all uniform regulations.

.263 When to Wear:

a. General. A uniform is worn only while the employee is on duty, in connection with approved activities directly related to postal employment.

b. Special Authorization. Postmasters may authorize wearing postal uniforms for activities in which the Postal Service participates or which it sponsors, where identification with the USPS is beneficial to the Service, and while the employee is traveling directly to and from work.

c. Restrictions. In no other case may the postal employee's uniform or any part thereof which identifies the garment or wearer with the USPS be worn in nonpostal employment or activities.

.264 USPS Emblem. The Postal Service emblem may not be worn, except by uniformed postal employees as part of the prescribed uniform, except in the following circumstances:

a. Postmasters and other installation heads may permit the voluntary wearing of the USPS emblems by a postal employee who has daily personal contact with the public, but who is not required to wear a uniform.

b. In all other situations, specific authorization is obtained through administrative channels from the Labor Relations Department.

.27 Employee Acting as Agent. No postmaster or postal employee may act as agent, directly or indirectly, for any individual or firm engaged in the manufacture or sale of postal employees' uniform items.

.28 Payment for Fabric. Employees may be reimbursed for purchases of piece goods for use in home sewing of items of uniform apparel authorized for the employee's craft. Note:

a. Payment is not made for purchases of piece goods for home sewing of any item that is not an authorized uniform garment for the craft concerned.

b. Fabric must meet specifications in 582.3.

c. Finished product must be presented to installation head prior to certification of invoice for payment.

582 Uniform Requirements

582.1 Employees Required to Wear Uniforms and Work Clothes

.11 Prescribed Uniforms. Employees in the following categories meeting the following conditions wear the prescribed uniform while performing their duties:

a. City letter carriers and special delivery messengers whose tours of duty during the course of a year average four hours or more a day performing carrier and special delivery duties.

b. Motor vehicle operators, tractor-trailer operators, or driving instructors and examiners, if they average 4 hours or more a day during the course of a year driving vehicles and holding themselves in readiness to drive them.

c. Ramp transfer clerks, AMF, assigned on a full-time basis to ramp transfer service at airports, who perform transfer duties between air carriers (or special transfer clerks, airmail, where there are no ramp clerks assigned).

d. Guards or watchmen.

e. USPS Security Force Police officers.

f. Passenger elevator operators or elevator starters, if they average 4 hours or more a day during the course of a year performing the duties of these jobs.

g. Clerks who average 4 hours or more a day performing city letter carrier duties.

h. Window service personnel, including postmasters and supervisors at CAG A-G and CAG H-J post offices, whose official assignment at a public window is for a minimum of 4 hours daily for 5 days a week on a continuing basis, or for not less than 30 hours a week.

i. Letterbox mechanics assigned to work outdoors more than one-half time, or general mechanics assigned to letterbox mechanic duties performed outdoors for more than one-half time.

j. Employees serving as area maintenance mechanics who are on official business away from their duty office for 50% or more of their time.

k. Nurses and first-aid attendants.

l. Medical officers.

.12 Contract Uniforms. The USPS has authorized uniforms for mailhandlers, custodial maintenance and vehicle maintenance employees in CAG A-G and CAG A-J post offices who meet certain criteria. To be eligible for uniforms under the contract uniforms program, employees must (a) be in public view at least 4 hours a day for 5 days a week, or (b) be in public view not less than 30 hours per week in combined total time. Instructions relative to this program can be found in current instructions published by each region. Eligible employees are:

a. Mail Handlers and Group Leaders (Mail Handlers). Those assigned to dock areas, platforms and other locations who meet the 4-hour-a-day or 30-hour-a-week criteria.

b. Custodial Maintenance. Those not otherwise authorized to wear uniforms who are assigned to multi-occupied buildings operated by the USPS and who meet the 4-hour-a-day or 30-hour-a-week criteria.

c. Vehicle Maintenance. Those who meet the 4-hour-a-day or 30-hour-a-week criteria, including time on road calls.

.13 Work Clothes. This program is separate from the contract uniform program. It is for employees who are not presently eligible for uniforms or contract uniforms. Affected are certain mail handlers, maintenance employees, motor vehicle employees, and clerical employees involved full time in pouching and dispatching units, parcel post sorting units, bulk mail sacking operations, and ordinary paper sacking units:

a. Mail handlers and maintenance employees working full time in the following duty assignments located in mailbag depositories, supply centers, and mail equipment shops:

Accountable Paper Supply Clerk, IP 70-110
Computer Printline Production Operator, SP 2-632
Custodian
Driver Messenger, IP 70-158
Electrician
Electronic Technician
General Mechanic
Group Leader, Equipment Repair
Group Leader, Mail Bag Examination
Group Leader, Mail Equipment Handler
Group Leader, Warehouseman
Label Printing Mechanic
Labor Custodian
Laborer, Materials Handling
Leather Worker, IP 70-125
Machine Operator, IP 70-160 and IP 71-60
Machine Operator, SP 7-5
Mail Equipment Handler
Maintenance Mechanic, General
Materials Handling Equipment Operator
Mechanics Helper
Operator, Sewing Machine, SP 7-26
Packer-in-Charge
Packer, Shipper
Packer, Warehouseman
Pressman—SP 7-2 and IP 70-23
Receiving & Shipping Clerk

Shipping Clerk, IP 70-101
Supply Clerk, SP 1-4
Tool & Parts Clerk
Warehouseman

b. Clerk Craft Employees:

Ordinary Paper Sacking Units
Parcel Postal Distribution Units (Manual)
Pouching & Dispatching Unit Clerks
RPO Clerks

c. Mail Handlers—Full-Time Mail Handlers working in the following areas:

In Units Dumping Pouches
In Units Dumping Sacks
Ordinary Paper Sacking Units
Parcel Post Units (dumping of sacks or manual or separation of sacks)
Platform (Dock) Operation

d. Motor Vehicle Maintenance Employees:

Automobile Mechanic
Automobile Painter
Body & Fender Repairman
Garageman
Junior Mechanic, Auto
Storekeeper, Automotive Parts
Tire Repairman
Tool & Parts Clerk
Vehicle Maintenance Analyst

e. Assigned full time in the specified duty assignment:

Assistant Engineman
Blacksmith-Welder
Carpenters
Cleaner-In-Charge
Cleaners
Conveyor-Mechanic
Custodians
Electrician
Electronic Technician
Elevator Mechanics
Engineman
Fireman
Fireman-Laborer
General Mechanic
Group Leaders
Laborer, Materials Handling
Laborers
Labor Printer Center Mechanic
Mason
Mechanics Helpers
MPE Mechanics
Office Appliance Repairman
Painters
Plumbers
Postal Machines Mechanic
Scale Mechanic
Stationary Engineer
Tool & Parts Clerk
Vehicle Operations Maintenance Assistant

.14 Aprons. Postmaster or installation heads are authorized to purchase aprons locally on an as needed basis for those employees who work on assignments involving dirty work but do not qualify for work clothes.

582.2 Uniforms Not Required

.21 New, Part-Time and Casual Employees:

a. New employees listed in 582.11 (except eligible Security Force employees) are not required to wear a uniform during the first 90 days of their employment, except for the prescribed uniform cap. Employees required to wear the uniform cap are reimbursed from uniform allowance funds for the cap. When the employees become eligible for the full uniform allowance, the cost of the cap is charged against their first year allowance.

b. Part-time employees with a regular or flexible work schedule are not required to wear uniforms, except for the cap, unless they meet the basic minimum hourly and daily requirements outlined in 582.11.

c. Casual employees are not required to wear uniform dress, except for the cap.

.22 90 Day Requirement Exemptions (See 582.21a):

a. Eligible employees in the USPS Security Force.

b. Present career employees in the regular work force who are assigned into a uniform category.

582.3 Specifications and Quality Control Certification

.31 Specifications. Specifications for items of uniform dress for the guidance of uniform manufacturers and retailers are issued by the Army Quality Control Office at Natick, MA.

.32 Quality Control Certification. Payment is made only for purchases of authorized uniform items manufactured in accordance with specifications issued by the USPS Uniform Quality Control Office, U.S. Army Natick Laboratories, Natick, MA. All items except leather and rubber footwear, overboots, gloves, hose, face masks, parka hoods, helmets, and fur caps, must contain the certificate label issued by the USPS Uniform Quality Control Office (see 586.32 and 586.33). By incorporating the label, the manufacturer guarantees that the item conforms to specifications. The label appearing in the uniform items must state the following:

> *This garment is warranted to meet or exceed the standard of specification PEDQUC No. _______ and was produced under certification No. _______, from basic material and controlled components warranted by the manufacturer to have been produced in accordance with sample under current certificate.*

583 Authorized Uniform Items and Combinations

583.1 Employee Uniforms

a. City Carrier, Special Delivery Messenger, Clerk Performing City Carrier Duties.

	Items for Men
Outer Uniform	Unlined or zip-in lined jacket, surcoat, parka, windbreaker, trousers, walking shorts.
Headgear	Cap (uniform fabric, dark blue post office color 5013), baseball cap, fur or mesh, helmet, detachable parka-type hood for surcoats, jackets and parkas.
Shoes	Black leather or black poromeric uppers, not over 8" in height from sole tops, with or without built-in safety toes. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish. Black overboots or insulated boots with no height restrictions.
Uniform shirt	Long or short sleeve.
Tie	Four-in-hand (regular or pre-tied) or bow.
Emblem	With craft tab.
Raingear	Coat or two-piece cape-style raincoat with or without hood (emblem must be attached when purchased), rainpants or leggings, cap cover (with or without detachable cape), neck/chest protector, black rubbers or galoshes.
Accessories	Sweater (emblem must be attached when purchased), black belt, black gloves, black knee-length hose. Navy blue face masks.

	Items for Women
Outer Uniform	Jackets, surcoat, parka, windbreaker, skirt, slacks or culottes, walking shorts.
Headgear	Oval pillbox style (uniform fabric), male style uniform fabric cap, wave-style cap, baseball cap, fur caps or detachable parka-type hoods and helmets.
Shoes	Black leather or black poromeric uppers not over 8" in height from sole tops, with or without built-in safety toes. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish. Black overboots, or insulated boots, with no height restrictions.
Uniform blouse	Long or short sleeve.
Necktab	Navy blue.
Tie	Four-in-hand (regular or pretired).
Emblem	With craft tab.
Raingear	Same items as male, plus rain hood.
Accessories	Sweater (emblem attached), neck/chest protector, black gloves, black belt 1" wide, dark blue knee-length socks, navy blue face mask.

b. Motor Vehicle Operator, Tractor-Trailer Operator, or Driving Instructor and Examiner.

	Items
Outer Uniform	Unlined or zip-in lined jacket, surcoat, windbreaker, parka, trousers, walking shorts.
Headgear	Cap (dark blue post office color 5013, uniform fabric,) fur or mesh, baseball cap, helmet, detachable parka-type hood for coats, jackets, and parkas.
Shoes	Black leather or black poromeric uppers, not over 8" in height from sole tops, with or without built-in safety toes. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish. black overboots or insulated boots with no height restrictions.
Uniform shirt	Long or short sleeves.
Emblem	With craft tab.
Tie	Four-in-hand (regular or pre-tied) or bow.
Raingear	Coat or two-piece cape-style garment, shorty raincoat with or without hood (emblem must be attached when purchased), rain pants, or leggings, cap cover (with or without detachable cape), black rubbers or galoshes.
Accessories	Black belt, sweater (emblem attached), neck/chest protector, black knee-length socks, black gloves.

c. Passenger Elevator Operator or Elevator Starter.

	Items for Men
Outer Uniform	Coat and trousers.
Headgear	Cap (uniform fabric post office blue No. 5000), baseball cap.
Shoes	Black leather or black poromeric uppers with or without built-in safety toes, not to exceed 8" in height from tops of soles. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish.
Accessories	Belt.
Uniform shirt	Long or short sleeves.
Emblem	With craft tab.
Tie	Blue, four-in-hand.

	Items for Women
Basic Uniform	Jacket, skirt.
Uniform blouse	Long or short sleeve with blue necktab or four-in-hand tie.
Shoes	Black leather or black poromeric, low heel, oxford-type with or without built-in safety toes, not to exceed 8" in height from tops of soles. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish.

d. Letterbox Mechanics (includes General Mechanics, assigned to work outdoors performing letterbox mechanic duties, more than one-half time) and *Area Maintenance Mechanics, Ramp Transfer Clerks AMF* (includes Special Transfer Clerks, Airmail, when there are no Ramp Transfer Clerks Assigned).

	Items
Outer Uniform	Unlined or zip-in lined jackets, windbreaker, parka, trousers, surcoat.
Headgear	Cap (uniform fabric dark blue post office color 5013), baseball cap, fur or mesh, helmet, detachable parka-type hood for surcoats, jackets, and parkas.
Shoes	Black leather or black poromeric uppers, not over 8" in height from sole tops, with or without built-in safety toes. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish. Boots or insulated boots with no height restrictions.
Uniform shirt	Long or short sleeve.
Emblem	With craft tab.
Tie	Four-in-hand (regular or pre-tied) or bow.
Raingear	Coat or two-piece cape-style garment, shorty raincoat, with or without hood (emblem must be attached when purchased), rain pants or leggings, cap cover (with or without detachable cape), black rubbers or galoshes.
Accessories	Black belt, sweater (emblem attached), neck/chest protector, black gloves, navy blue masks.
Optional Item	Coveralls.

e. Window Service Personnel

	Items for Men
Uniform shirt	USPS blue, white, and gold, long or short sleeve.
Uniform jacket	Shade post office blue 5000.
Tie	Four-in-hand (regular only), gold, dark blue and red. Clip-on 4-in-hand tie.
Emblems	With craft tab.
Trousers	Navy blue.
Accessories	Black belt, sweater (emblem attached).

	Items for Women
Blouses	White, post office blue and gold, short sleeve. USPS blue, long-sleeve blouse.
Skirt and slacks	Navy blue.
Dress	Navy blue double knit fabric.
Uniform jacket	Shade USPS Blue 5000.
Emblems	With craft tab.
Accessories	Sweater (emblem attached).

f. Guard or Watchmen

	Items
Outer Uniform	Uniform coat, trousers, surcoat.
Headgear	Cap: Guard—Navy blue; WAVE-Style cap (female employee). Watchman—White vinyl with red chin strap.
Shoes	Black leather or black poromeric uppers with or without built-in safety toes, not to exceed 8" in height from tops of soles. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish.
Uniform shirt	Long or short sleeve.
Emblem	With craft tab.
Tie	Four-in-hand (blue).
Raingear	Coat or two-piece cape-style garment, shortie raincoat, rain pants or leggings, cap cover (with or without detachable cape), black rubbers or galoshes (galoshes, overboots or insulated boots for employees who work outdoors only.)
Accessories	Black gloves, black belt.

g. Nurse and First Aid Attendant

	Items for Women
	White dress or white pants suit and cap, white shoes and white hose.

	Items for Men
	White surgical shirt, white trousers, white oxford shoes, white socks.

h. Medical Officer

	Item
	Surgical coat, long or short.

i. Security Force Police Officers.

	Items for Men
Outer Uniform	Uniform coat, reefer, trousers.
Headgear	Cap (uniform fabric, winter and summer weight), fur cap.
Shoes	Black leather or poromeric lace-type shoes, plain toe, not over 8" in height from sole tops, with or without built-in safety toes. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish.
Uniform shirt (Regular Officer)	Long sleeve, light blue, or short sleeve, dark blue.

Items for Men

Uniform shirt (Sergeant, Lieutenant, Captain)	White long sleeve, short sleeve.
Tie	Four-in-hand, ready-made clip-on style only, dark blue, winter, light blue, summer.
Emblem	Security Force shield insignia.
Rank insignia	Sergeant—embroidered and enameled stripes, blue, white and black.
	Second Lieutenant—single gold metal bar.
	First Lieutenant—single silver metal bar.
	Captain—2 connecting silver metal bars.
Raingear	Raincoat (Security Force shield insignia attached), rain leggings, rain cape cover with or without cape. The raincoat may be used as a topcoat in those areas where a winter overcoat is not mandatory. Black rubbers, galoshes, or insulated boots.
Accessories	Black belt, black gloves.

Items for Women

Outer Uniform	Uniform blouse, reefer, slacks, skirt, and culottes.
Headgear	Pill-box style (uniform fabric), male style cap (uniform fabric, winter or summer weight), fur cap.
Shoes	Black leather, oxford-type, low heel, with or without built-in safety toes. All leather or poromeric shoes must be capable of accepting a buff shine to obtain a glossy finish.
Uniform blouse (Regular Officer)	Long sleeve, light blue, or short sleeve, dark blue.
Uniform blouse (Sergeant, Lieutenant, Captain)	White long sleeve, short sleeve.
Emblem	Security Force shield insignia.
Rank insignia	Sergeant—embroidered stripes, blue, white and black.
	Second Lieutenant—single gold metal bar.
	First Lieutenant—single silver metal bar.
	Captain—2 connecting silver metal bars.
Tie or necktab	Light blue summer, dark blue winter, four-in-hand clip on ready-made only or necktab.
Raingear	Raincoat (Security Force shield insignia attached), rain leggings, rain cap cover with or without cape rain hood. The raincoat may be used as a topcoat in those areas where a winter overcoat is not mandatory. Black rubbers, galoshes, or insulated boots.
Accessories	Black belt, black gloves.

j. Custodial (Maintenance).

	Items
Outer Uniform	1 jacket, 3 pair trousers.
Headgear	2 caps (1 winter and 1 summer).
Shirt	3 long or short sleeve.

k. Mail Handler.

	Items
Outer Uniform	1 jacket, 3 pairs trousers.
Headgear	2 caps (1 winter and 1 summer).
Shirt	3 long or short sleeve.

l. Vehicle (Maintenance).

	Items
Outer Uniform	1 jacket, 4 pairs trousers.
Headgear	2 caps (1 winter and 1 summer).
Shirt	4 long or short sleeve.

m. Other Employees.

Work clothes are furnished to eligible employees listed in 582.13.

583.2 Authorized Uniform Combinations

.21 Male City Carriers, Special Delivery Messengers and Motor Vehicle Operators

Cold Weather	Warm Weather		
	Option No. 1	**Option No. 2**	**Option No. 3**
Required Items:			
Shirt, long or short sleeve	Shirt (short sleeve)	Shirt (long sleeve with convertible collar or short sleeve)	Shirt (long sleeve with convertible collar or short sleeve)
Blue tie	Blue tie		
Uniform trousers	Uniform trousers	Uniform trousers	Walking shorts and knee length socks
Black belt	Black belt	Black belt	Black belt
Black shoes	Black shoes	Black shoes	Black shoes
Optional Items:			
Headgear: winter or fur cap, baseball cap, parka-style hood.	Headgear: summer cap, baseball cap, or helmet	Headgear: summer cap, baseball cap, or helmet	Headgear: summer cap, baseball cap, or helmet
Winter jacket	Summer jacket		
Raingear	Raingear	Raingear	Raingear
Windbreaker	Windbreaker	Windbreaker	Windbreaker
Parka or Surcoat			
Black gloves			
Neck/chest protector			
Sweater			

.22 Female City Carriers, Special Delivery Messengers and Motor Vehicle Operators

Cold Weather	Warm Weather	
	Option No. 1	**Option No. 2**
Required Items:		
Blouse (long or short sleeve)	Blouse (short sleeve)	Blouse (short Sleeve)
Blue necktab, or four-in-hand tie		
Uniform slacks, skirt or culottes	Uniform slacks, skirt or culottes	Walking shorts and navy blue knee length socks
Black Belt	Black Belt	Black Belt
Black shoes	Black shoes	Black shoes
Optional Items:		
Headgear: winter cap, baseball cap, pillbox cap, or parka-style hood.	Headgear: summer cap, helmet, baseball, WAVE-style, or pillbox cap.	Headgear: summer cap, helmet, baseball, WAVE-style, or pillbox cap.
Winter jacket	Summer jacket	
Raingear	Raingear	Raingear
Windbreaker	Windbreaker	Windbreaker
Surcoat		
Parka		
Black gloves		
Neck/chest protector		
Sweater		

.23 Window Service Personnel

Male	Female	
	Option No. 1	Option No. 2
Shirt (long or short sleeve)	Blouse	Dress
Tie		
Trousers	Skirt or slacks	
Color combination of shirt and tie at the option of the employee	Color of blouse and wearing of option No. 1 and No. 2 is at the discretion of the employee	
Optional Item:		
Uniform jacket	Uniform jacket	

583.3 Insignia

.31 Stars and Bars

a. Who shall wear. Regular uniformed employees may, at their option, wear 1 or more stars, dependent on their time in the service. Substitute uniformed employees may, at their option, wear a bar on each sleeve, indicating the individual's status.

b. Significance of Stars. Stars indicate length of service. In computing length of service, credit is allowed for actual time served as a substitute. This is computed on the basis of one-twelfth of a year for each whole calendar month that the substitute has been on the rolls. Stars are worn as follows:

Years of Service	*Stars*
5	1
10	2
15	3
20	4
25	[1]1
30	[1]2
35	[2]1
40	[2]2
45	[2]3
50	[2]4

[1] Silver.

[2] Gold.

c. Color of Stars. Service stars match the color of the tie for the uniform category for the first 20 years of service, afterwards in accordance with 583.32b. All stars are made of silk or rayon thread and are ¾" in diameter.

d. Bars. The bar is made of cloth matching the color of tie for the uniform category and ¼" by 1 ½".

.32 Other Insignia. Other insignia may not be worn with the uniform. *Exception:* An award emblem for safe driving or superior accomplishment, or other officially authorized insignia, may be worn on the cap (left side). Employees not required to wear caps may wear the insignia on the lapel of the jacket.

584 Wearing of Uniform Items

584.1 Uniform Headgear

.11 Optional Wear. For the following employees, the wearing of uniform headgear is at the option of the employee:

a. Area Maintenance Mechanic.
b. Letter Box Mechanic.
c. Letter Carrier.
d. Motor Vehicle Operator, Tractor Trailer Operator, Driving Instructor and Ramp Transfer Clerk.
e. Ramp Transfer Clerk.
f. Special Delivery Messenger.

.12 Mandatory Wearing of Cap. Wearing of the cap is still mandatory for: a) casual employees, b) new employees who are not required to wear a uniform during the first 90 days of their employment, and c) all other employees who are authorized only a cap as a means of identifying them with the USPS. No substitute headgear may be worn by these employees.

584.2 Cold Weather Items

.21 Face Mask. In extremely cold climates, uniformed employees who are regularly assigned to outdoor duties for more than one-half time may purchase a face mask as an optional reimbursable item. The face mask must be dark blue with no ornamentation, in a wool blend or synthetic fabric. The necessity for this item is left to the judgment of the postmaster.

.22 Neck/Chest Protector. Employees authorized to wear the neck/chest protector as part of the cold weather uniform, will not be required to wear a necktie, when the neck/chest protector is being worn to protect them from cold weather. When inside the postal facility, the neck/chest protector will be replaced by the necktie which again becomes a required uniform item.

584.3 Walking Shorts and Knee Length Hose. Walking shorts may only be worn with black knee-length hose by male employees and with dark blue knee-length hose by female employees. Purchase of specified hose is limited to employees who choose or have chosen to purchase walking shorts.

584.4 Summer Shirt and Tie. Where a convertible collar, short- or long-sleeve summer shirt is authorized, the tie is not necessarily required. The tie must be worn whenever a jacket or coat is worn. After consulting with affected employees at the post office, if the postmaster decides a tie is to be worn with the convertible collared summer shirt, the tie is worn by all affected employees at that post office. However, if the decision is that a tie need not be worn, individual employees who desire to wear the tie may do so even though the majority are without ties.

584.5 Sweaters. A sweater may be worn as an outer garment. When so worn, the official emblem is permanently attached.

584.6 Outer Garments. Only authorized outer garments are to be worn on the street during duty hours. Interliners may not be worn as outer garments. Payment is not made for interliners unless attached to jacket.

584.7 Employees in Nonuniform Categories. Employees not eligible for the window service uniform allowance, but who have contact with the public and wish to identify themselves with the USPS, may purchase the window service uniform. These items are non-reimbursable. They may be purchased only at the option of the employees, and at no cost to the Postal Service.

584.8 Seasonal Changes of Uniform. The head of an installation determines when seasonal changes of uniforms will take place.

584.9 Prohibitions. Wearing postal uniforms is prohibited under the following circumstances:

a. A person not connected with the letter carrier branch of the USPS who wears the uniform or badge worn by a city carrier is fined not more than $100, or imprisoned not more than 6 months, or both. When employees are separated from the USPS, all emblems, buttons, or other identifying insignia must be removed before the uniforms are discarded.

b. The uniform is not worn during or in connection with the furtherance of private employment or commercial interests when an inference of official sponsorship for the activity of interest would be drawn.

c. The uniform is not worn under circumstances which would tend to bring discredit upon the USPS.

d. The uniform is not worn, except when authorized by the postmaster or Headquarters, when participating in activities such as public speeches, interviews, picket lines, marches, rallies, or any public demonstration which may imply service sanction of the cause for which the demonstration or activity is being conducted.

585 Uniform Allowances

585.1 When Allowances Take Effect

.11 Anniversary Date. Allowances take effect on the earliest date an employee is required to wear the uniform. This date is known as the employee's anniversary date.

.12 Transfers. When employees who have been receiving allowances in one uniformed category transfer or are reappointed to another uniformed category within the allowance year, they start a new anniversary date, provided they are eligible in the new category on the date of assignment (see 585.241).

.13 Absences from Uniform Category Exceeding 1 Year. Employees on LWOP in excess of a year or absent on military duty in excess of a year, who were eligible for uniform allowances immediately prior to their absence, receive a new anniversary date for uniform allowances directly on return to a duty and pay status in a uniformed category. Other employees separated from a uniform category for periods in excess of one year are regarded as new employees and therefore entitled to the first year allowances when reassigned to a uniform category.

585.2 Adjustment for Certain Absences During Allowance Year

.21 Absences from Uniform Category of 90 Days to 1 Year

***.211* Policy.** Employees temporarily assigned to light duty assignments, OWCP absences, extended sick leave, or higher level detail for a period of 89 days or more, that does not require wearing a uniform, have their uniform allowance suspended for the time they are on this assignment. Note:

a. Prepare Form 50-A, *Request for Personnel Action,* showing *Personnel Action,* Code 903, *Uniform Certification Disallowance,* at the time the employee is placed in a light duty detail.

b. Invoices showing purchase dates during the time an employee is in a non-uniform category may not be accepted for payment.

c. If the detail is terminated in less than 1 year after the last anniversary date, the allowance is redetermined by the postmaster as described in 585.22, and the employee retains the former anniversary date.

.212 Suspension Instructions. Insert a statement that the uniform allowance is suspended for the period of the detail. When the detail is terminated and the employee is reassigned to a position which makes him again eligible for a uniform allowance, prepare a new Form 50-A, establishing the employee's eligibility. (See Handbook P-11, *Personnel Operations.*)

.22 Absences from Duty While in Uniform Category. An employee on LWOP, OWCP absence, extended sick leave, higher level detail, or military LWOP not in excess of 89 calendar days during a year of eligibility receives full allowance if otherwise eligible. If such leave exceeds 89 calendar days (not necessarily consecutive, but accumulative) during any uniform allowance year, the maximum allowance is reduced 10% for the 90 calendar days of LWOP and 10% for each full 30 calendar days of accumulative leave beyond the 90-day period. Recovery of earlier grants of allowance is not required, however, in achieving this reduction.

.23 Reappointments. Eligible employees who are separated from a uniformed category and are later reappointed to a position in the same category within 1 year after their last anniversary date, have their allowance redetermined as outlined in 585.22 and retain the former anniversary date.

.24 Adjustment for Employees who Transfer Crafts

.241 Change to Another Uniformed Category. An employee who has been receiving an annual allowance and later transfers to another uniformed category receives the allowance for newly eligible employees in that category. Any balance of the previous annual allowance is liquidated by the PDC and new card is issued with the new allowance.

.242 Transfer or Separation Except 1 Year. An employee who transfers or separates from a uniformed category for a period exceeding 1 year and later returns to duty in a uniformed category is regarded as a newly eligible employee. The employee receives the increased first-year allowance.

.25 Notification to Employee and Postal Data Center

.251 Determination of Eligibility. When an employee's eligibility for a uniform allowance is uncertain, the postmaster makes the decision. The postmaster notifies the employee of the decision before the employee buys items of uniform dress thinking that the USPS will pay for them.

.252 Change in Eligibility. A change in assignment or eligibility which requires no other type of concurrent personnel action, but which changes eligibility for the uniform allowance is recorded on Form 50. The form indicates either that the employee has become or is no longer eligible for the uniform allowance. After completing Form 50, the personnel service center makes normal distribution. The postmaster notifies the employee and the personnel service center whether the employee is newly eligible for a uniform allowance and is entitled to the additional first-year allowance (see 585.24).

586 Payments

586.1 Limitations on Payments

.11 Total Yearly Payments. Total payments for an employee during an allowance year may not exceed the maximum allowance prescribed, except as indicated in 585.24.

.12 Times for Claims. Claims for payment for a given allowance year, not presented to the postmaster or the employee's authorized representative on or before the last day of the allowance year, are considered forfeited and may not be paid in response to late filed claims. Exception is made if the late filed claim is submitted within 30 days after the close of a given allowance year and the invoice presented has been certified in writing by the licensed vendor that the merchandise contained therein was actually shipped during that particular allowance year. However, no late claim is honored after this 30-day grace period regardless of purchase date. When and if such a claim is not allowed, the postmaster notifies both customer and vendor. Return invoice directly to vendor. Supervisors should give careful attention to these claims.

.13 Insufficient Funds for Claims. Claims for payment are not honored for any item purchased prior to the beginning of a new allowance year when there are insufficient funds in the employee's current uniform account to pay for the purchases. The date of the vendor's invoice is considered the actual date of purchase. When such a claim is not allowed, notify both customer and vendor. Return invoice directly to vendor.

.14 Related Expenses. Payment is neither claimed nor made for expenses involved in purchase of secondhand items of uniform, nor for cleaning, repairs, or alterations (except alterations made at time of purchase for the sole purpose of ensuring proper fit).

.15 Items Not Specified. All branches of service have specific detailed specifications for the style and color of their particular uniforms. Detailed specifications and styles are prescribed for both male and female uniform items of clothing in each specific category of employment. Payment is neither claimed nor made for any items of clothing that do not conform with the detailed male or female specifications and styles for the employee's category of employment.

.16 Purchases Exceeding Allowances. Each employee is personally responsible to the authorized licensed vendor for all purchases exceeding his uniform allowance. In cases where employees purchase in excess of their full allowance or existing allowance balance, the full licensed vendor invoice is processed regardless of amount. The PDC pays only the maximum left in employee's account and notifies the vendor why the remainder has not been paid.

586.2 Payment for Uniform Purchase After Separation of Employee. Payment to the vendor is not allowed if the following conditions exist:

a. The employee separates from the uniform program for any reason, including retirement, within 30 days following purchase of items of uniform wear which are not recognizable as distinctive uniform items unless worn with the basic outer garments of the uniform. In these cases notify both employee and specific vendor involved. Return invoice to vendor (see 586.32). Non-distinctive items include shoes, gloves, rubbers, galoshes, overboots, hose, face masks, pith helmets, and belts.

b. When there is evidence that, prior to making the purchase, employee indicated an intention to separate from the uniform program for any reason, including retirement or involuntary separation, do not process voucher for payment. Return voucher to vendor advising why it will not be honored.

586.3 Approval By Installation Head

.31 Inspection of Purchases. The installation head may require the employee to present uniform purchases for inspection before approving purchase vouchers. The installation head assigns (an) employee(s) at each facility to examine all invoices to insure that purchases are reasonable under the circumstances. All items must contain the certificate label issued by the USPS Quality Control Office, except as noted in 586.32. Discretion is exercised in permitting purchase of excessive amounts of one of a kind items, such as shoes, gloves, socks, and other civilian type items.

.32 All Merchandise Acceptable or Unacceptable. If all merchandise is acceptable, the invoice is signed by employee and accepted for payment. If all merchandise is unacceptable, the invoice is returned by the postmaster to the vendor stating the reason it was unacceptable. The employee retains but does not wear the unacceptable merchandise and waits for instructions from the vendor.

.33 Portion of Merchandise Acceptable or Unacceptable. If only a portion of merchandise is acceptable, all unacceptable merchandise is crossed off original and employee copies of invoice. The portion of the invoice for acceptable merchandise only is processed for payment. The employee's copy of invoice is returned by the postmaster to the vendor stating the reason adjustment was made to the invoice. The employee retains but does not wear the unacceptable merchandise and waits for instructions from the vendor.

.34 Purchases Not Meeting Regulations. If any invoice presented in 586.32 and 586.33 is unacceptable because it is considered by employer's designated representative as not to conform to current postal regulations, the representative notifies installation head so that appropriate action may be taken. The employee retains but does not wear the unacceptable merchandise and waits for instructions from the vendor.

.35 Disallowing Payments. The installation head is responsible for disallowing payment for excessively priced items not needed for local climatic conditions and for excessive amounts of civilian type items.

.36 Employee's Responsibility for Excesses. The installation head cautions all employees that uniform purchases exceeding their current allowances are employees' personal responsibilities.

.37 Notification of Responsibility. The USPS, although not responsible for employee's excess uniform allowance purchases, advises employees in writing of their responsibilities to make payment when notified of delinquencies.

586.4 Submission of Uniform Vouchers

.41 Separating Employees. Employees who are separating from the USPS, retiring, or leaving a uniformed craft, turn in any invoices they are holding. If invoices are not turned in, employees are responsible for payment to the vendor from their own funds.

.42 Addition to Form 337. Postmasters and installation heads add "Uniform Allowance Invoices Submitted" on Form 337, *Clearance Record for Separated Employee*, as a write-in item.

.43 Employee Submission of Invoices. When an employee who is leaving the USPS checks out, the postmaster, or other designated employee, asks the separating employee if all current allowance year invoices for purchases of authorized uniform items were submitted for payment. If the answer is affirmative, complete the item in the same manner as the other items on the check-out sheet. If the employee has not turned in all current allowance year invoices, Form 337 is so noted. The employee is reminded to submit the invoices as soon as possible. Note this on the check-out sheet.

.44 Conditions for Nonpayment. Invoices dated prior to an employee's separation date and submitted for payment are processed for payment. However, they are not paid under any of the following conditions:

a. When purchases of uniform items, recognizable as distinctive uniform items, were made within 30 days prior to separation (see 586.2a).

b. When there is evidence that, prior to making the purchase, the employee indicated an intention to separate for any reason including retirement (see 586.2b).

586.5 Payment to Licensed Vendors

.51 Direct Payment. Payment is made directly to licensed vendors.

.52 Employee Reimbursement. Employees are not reimbursed for uniform purchases except for cap.

.53 Evidence of Purchase. Payment to vendor is made on the basis of merchandise (see 586.31) and evidence submitted by employees that they have personally acquired prescribed items which meet postal specifications and are satisfied with the items received. Order blanks and cash register tapes are not acceptable evidence. Licensed uniform vendors' vouchers or bills must contain an itemization and description of uniform garments purchased, including size of each item. The evidence also contains the full name of the employee; the post office finance number; the first seven digits of the employee's social security number; employee's designation number; employee's anniversary date; the vendor's license number; vendor's invoice number; date on which purchase was made, and a statement by the supplier that the items are in accordance with USPS specifications. The itemization must be sufficiently specific to permit a determination that payment is being claimed for prescribed uniform items in accordance with USPS specifications. Prices of items represented on receipts, or other acceptable evidence of acquisition, must represent the actual net amount charged by the supplier.

.54 Submission of Invoice to Postmaster. Employees submit vendor's original invoice, photostat, or true copy to their postmaster no later than 10 working days after receipt of the invoice. In those instances where the receipt is not submitted in 10 days, it may be submitted provided the employee supplies the reason for the delay in writing.

.55 Processing of Invoices. Postmasters must promptly process invoices for payment to vendors. Assure that invoices are in accordance with Handbook F-42, *Uniform Allowance Program* and that purchases are in accordance with the guidelines and objectives stated in 583.1.

.56 Restrictions of Payment. Except for temporary employees who are required to wear the cap prescribed for their category, payment is made only for employees required to wear full uniform dress, as specified.

.57 Posting Publication 136. Publication 136, *Licensed Vendor Listing*, is placed at a designated point within the postal installation, and all eligible employees notified of its availability and location. Additions to the listing are published in the Postal Bulletin. The listing must be kept up to date and available to employees at all times.

587 Uniform Vendors

587.1 Communications from Vendors

The postmaster designates an employee to respond to all licensed vendor correspondence relating to employee uniform purchases. All correspondence that requires an answer must be received from the licensed vendor in the following manner:

a. Addressed to Uniform Clerk, c/o Post Office, City, State, ZIP Code.

b. In duplicate with self-addressed stamped return envelope.

c. Show employee's name, the first seven digits of the employee's social security number, invoice number in question, invoice amount, date of invoice.

d. Provide space for a reply.

587.2 Access to Postal Premises. Postmasters may permit licensed vendor of official postal uniform items access to postal installations and their subinstallations as follows:

a. Licensed vendors or their representatives must present proper identification to postmasters or their designated representatives.

b. The location has a lunchroom or other nonwork area space of sufficient size so that vendors and interested employees may conduct their business without interfering with postal activities.

c. Vendors must strictly adhere to local rules as to location, hours, etc., required by local postmaster.

d. Vendors failing to meet requirements in 587.2 a and c may be denied admission by postmaster.

588 Supervisor Work Clothes Program

588.1 Purpose

A work clothes allowance is authorized for certain categories of supervisors whose duties require them to come in contact with dirty or toxic materials while supervising or inspecting the work of their subordinates. (List annually published in Postal Bulletin.)

588.2 Eligibility

.21 Determined by Installation Head. The installation head is responsible for determining the individual supervisor's eligibility for the allowance.

.22 Recommendations for Additional Categories. Recommendations to request that additional categories of supervisors receive a work clothes allowance are submitted through management channels for consideration and approval by the Senior Assistant Postmaster General, Employee and Labor Relations Group. Each request includes the position title(s); occupation code(s): grade(s); and a statement specifying those duties being performed by the employee to justify eligibility for an allowance.

588.3 Acquisition of Work Clothing

.31 Alternative Protective Items. If the installation head determines that occasional use of such items as coveralls, smocks, or aprons meet the need, these items are purchased for the installation through the GSA FEDSTRIP catalog.

.32 Work Clothes Allowance

.321 Reimbursement Limit. If the installation head approves a work clothes allowance for an eligible supervisor, the supervisor is reimbursed the actual cost for an initial purchase of two sets of work clothes (two shirts and two pairs of trousers). However, total reimbursement for both initial sets may not exceed $30. Work clothes may be purchased from any retail outlet.

.322 ***Types of Work Clothes.*** Work clothes may be in any shade of blue, green, brown or khaki. Although further specifications are not prescribed, it is recommended that the trousers be twill weave, polyester, cotton, durable press, medium- or heavy-weight fabrics, and that the shirts be poplin weave, polyester/cotton, durable press fabric.

.323 ***Purchases Not Authorized.*** Reimbursement is not authorized for dress shirts, slacks, sport clothes, or any other types of garments which are not clearly identifiable as work clothes.

.324 ***Replacements.*** Replacement work clothes may subsequently be authorized by the installation head on an as-needed basis in order for the supervisor to maintain two complete sets. Reimbursement for replacements is limited to a maximum of $30 per year, beginning on the anniversary date of the initial purchase.

588.4 Reimbursement Procedure

.41 The installation head lists all eligible supervisors on Form 1960 and submits the completed form to the St. Louis Postal Data Center.

.42 When set up on the Uniform Allowance Master File at the St. Louis PDC a card Form 1498 is cut for each eligible supervisor.

.43 When Form 1498 for an eligible supervisor is certified for payment, vendor number 81886 should be used to assure payment directly to supervisor.

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Chapter 6
Employee Relations

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610 Employee Services

611 Scope

Service programs help employees understand their jobs better and eliminate many distractions caused by personal job-related problems. Employees are encouraged to ask supervisors or officials for advice or assistance on important matters even if unrelated to business. The Senior Assistant Postmaster General, ELR, must approve employee services not listed in this subchapter.

612 Information Media

612.1 Responsibility

Supervisors inform their employees on all official matters affecting them, through printed material or bulletin boards.

612.2 Methods

.21 Official Directives. Subject manuals are the basic source documents outlining USPS operational policies. Postal Bulletins, Management Instructions, Headquarters Circulars, Handbooks, etc., instruct, explain or detail the implementation of a specific policy or regulation.

.22 Unofficial Communications. Newsletters, memos, etc., are communications used for information only.

.23 Bulletin Boards

.231 Bulletin Boards serve as a means of providing information of interest to employees, such as that required by law or regulation, official management information, and items of general interest. Bulletin Boards are to be placed in locations and numbers convenient to employees—at or near employee entrances, lunch rooms, locker rooms or elsewhere in the work area. It is useful to separate board space for different types of material divided into broad categories:

a. Required by Law or Regulation. Material tends to be permanent:

(*1*) Local fire emergency plan.

(*2*) Occupational Safety and Health Act—OSHA Poster 2219.

(*3*) Office of Workers' Compensation programs—OWCP.

(*4*) Unemployment Compensation Protection for Federal Employees.

(*5*) Equal Employment Opportunity (EEO).

b. Official Management Use. Date each item and remove outdated material:

(*1*) Notice of job opportunities.

(*2*) Benefit plans.

(*3*) Events affecting working conditions.

(*4*) Changes in work schedules.

(*5*) Changes in wage rates.

c. General Interest. This material includes notices about:

(*1*) Lost and found items.

(*2*) Social and recreational events.

(*3*) Blood donor programs.

(*4*) Food price changes.

(*5*) Public transportation schedules.

(*6*) Meetings.

(*7*) Combined federal campaign.

(*8*) Parking regulations.

(*9*) Housing.

.232 Only suitable material should be posted on bulletin boards and it is the responsibility of the Installation Head to insure the appropriate use of bulletin boards. In addition to providing bulletin board space for managment use, the Installation Head will provide bulletin board space for Union use consistent with the terms of the applicable collective bargaining agreement.

613 Credit Unions

613.1 Authority

Employee credit unions in the Postal Service, as in all federal departments or agencies, are chartered according to the *Federal Credit Union Act* (12 USC, 1753/1754). That Act gives the power to direct and control the Federal Employees Credit Union Program to the Administrator, National Credit Union Administration, Washington, DC 20456—an independent agency in the executive branch of the government. Credit unions may also be chartered under state laws and are generally supervised by the banking department of the state involved.

613.2 Space Allowance

The Postal Service will, without charge and if available, authorize a suitable location (other than workroom floor space) for credit unions in postal buildings. If the area is accessible through the workroom *only*, membership in the credit union is restricted to USPS employees (active and retired). Other federal employees in the same building may not join unless the credit union is situated so that it is unnecessary to enter the postal workroom. Credit union business cannot be conducted from any post office service window.

613.3 Employees with Credit Union Duties

Postal personnel who are employees, officers, officials, or board members of employee credit unions are not entitled to USPS compensation for credit union duties. They have the option of annual leave or leave without pay (up to 8 hours daily) to perform credit union activities—provided they can be spared from their regular duties.

614 Food Services

614.1 Policy

USPS provides food services, including snacks and beverages, that cannot be conveniently obtained at reasonable prices from commercial sources and that are required for the health, comfort, or efficiency of postal employees while on duty. The Randolph-Sheppard Act, 1974, dealing with the operation of vending facilities by a blind vendor, applies to the Postal Service.

614.2 Operation

.21 Responsibility. Food service facilities in central lunchrooms and in satellite work areas—manual, vended, or a combination—are under the control of the installation head. This responsibility may not be delegated to any employee committee.

.22 Management. Only minimal time and effort should be expended by employees in food management. Therefore, these operations are contracted out to professional in-plant food management firms and concessionaires, including qualified food service operations established by state licensing agencies for the blind.

614.3 Types

As conditions warrant, an installation may have three distinct types of food service operations. Subject to the provisions of the Randolph-Sheppard Act as amended in 1974, priority consideration is given to the state agency for the blind for the operation of any of these food services:

a. Central Lunchroom/Cafeteria. An employee lunchroom/cafeteria, either manual or vended, may be established to provide necessary food service to an installation's employees. Cafeterias are contracted for on a *break-even* basis to provide wholesome food at the lowest practical cost.

b. Vending In Work Areas. Vending machines with snacks, beverages, tobacco products, etc., may be installed at or near employee work stations.

c. Blind Vending Facility. Food service and vending stands are established in postal facilities through arrangements with state licensing agencies for the blind. Every effort is made to cooperate with state licensing agencies to implement this program. As opportunities arise, postal officials notify state agencies of additional vending facilities to be operated by the blind under Randolph-Sheppard Act.

614.4 Funds. Disposition of funds depends on the source:

a. From Central Lunchroom/Cafeteria. The Postal Service will neither profit from nor subsidize the operation of a central lunchroom/cafeteria. After deducting 1½ percent of gross sales for reimbursement of utilities, any funds generated from operating a central lunchroom/cafeteria are redistributed to lunchroom patrons through reduced food costs for items sold or vended. These funds are not turned over to the employee social and recreational committee.

b. From Work Area Vending. After deducting 1½ percent of gross sales for reimbursement of utilities, the income from vending machines in employee work areas is first shared with the state agency for the blind (Randolph-Sheppard Act). The remaining income is assigned to programs devised by the employee social and recreational committee.

615 Social and Recreational Program

615.1 Policy

Management encourages employee social and recreational programs. These programs help ensure the mental and physical well-being of personnel and assist in recruiting and retaining employees.

615.2 Discrimination

Discrimination based on race, color, religion, sex, national origin, union affiliation, or age is prohibited. No employee social and recreational committee is authorized if there is membership discrimination.

615.3 Committees

.31 Membership. The installation head organizes and chairs the committee. The balance of the committee includes a representative from each craft designated by the unions representing respective crafts, and a member from supervision designated by the organization representing the supervisory employees, to assure that all employees are fairly represented.

.32 Requirements

.321 An employee social and recreational committee must be established in each installation where employees receive income from vending machines or other enterprises.

.322 This committee may not have management responsibilities for such vending operatings.

.323 Members of the employee social and recreational committee must per permitted by the head of the activity to attend committee meetings called by the chairman and to perform duties relating to functions of the committee while on the clock, subject at all times to the needs of the service.

.33 Responsibilities. The employee social and recreational committee represents all employees in the installation. It is responsible for administering social and recreational funds and administering programs for the benefit of all employees in the installation. The committee is specifically responsible for:

a. Receiving, safeguarding, disbursing, and accounting for employee social and recreational funds.

b. Developing and publicizing well-rounded social and recreational programs that will contribute to the benefit of all employees. No single individual, group, or organization may be permitted to:

(*1*) attach their name as a sponsor of an activity or event financed and sponsored by the social and recreational fund, or

(*2*) use such events in any way for the furtherance of their organization objectives.

c. Expending employee social and recreational funds for the social and recreational activities of all employees. No monies shall accrue to the benefit of a single group, organization, or individual.

d. Publishing annually the financial status of the employee social and recreational fund for information of all employees.

e. Advising the food service officer, about the manner in which the vending operation in work areas are meeting employee needs, and about pricing policies that should be established on vended items.

.34 Constitution. Employee social and recreational committees must operate within the framework of a constitution prepared by the committee and approved by the installation head (see Exhibit 615.34). The committee may modify the sample format to meet local conditions, however, the constitution must require that:

a. The committee operations comply with applicable rules and regulations of the Postal Service.

b. The expenditure of funds of the social and recreational committee must be by three-fourths vote.

c. The accounting and auditing of all funds must be as prescribed in these instructions.

.35 By-Laws. Employee social and recreational committees must operate under by-laws prepared by the committee and approved by the installation head. (See Exhibit 615.35 for sample of by-laws.)

615.4 Employee Social and Recreational Fund

.41 Purpose. The fund provides a financial basis for support of well-rounded social and recreational programs that benefit all employees of the installation.

.42 Source of Funds

.421 Sale of non-alcoholic beverages, candy, cigarettes, and other consummable products by vending machines located in work areas (except for income provided by the Postal Service to a state licensing agency for blind vendors under the Randolph-Sheppard Act) under the following conditions:

a. Employee committees may not operate vending facilities (See Handbook P-29, *Food Service Operation* for exception).

b. The Postal Service will contract for vending services unless operated under permit by the blind.

c. Vending commissions will be paid directly to the Postal Service.

.422 Interest on savings accounts and other investments in U.S. Savings Bonds or other securities.

.423 Proceeds from the sale to employees of tickets to dinners, picnics, parties, recreational activities and discount merchandise and travel.

.43 Funds Excluded. Monies received from the following operations are not employee social and recreational funds, and are not to be included in the records or reports:

a. Stands or vending machines operated by blind persons under permit.

b. Funds from the operation of a cafeteria or lunchroom including income from vending machines located in the operating areas of these eating facilities.

c. Coffee shared by a group of employees on a non-profit basis.

d. Honor systems where the money received covers only cost of items available.

e. Voluntary contributions such as those incident to death or illness of fellow workers.

f. Donations of gifts from any source. These are in violation of the Code of Ethical Conduct (see 660) and may not be accepted under any circumstances.

g. The sponsorship of insurance programs, relief or assistance funds, hardship loans, etc., are prohibited as a Social and Recreational Program activity.

h. Solicitations to supplement amounts contributed or made available from the employee social and recreational fund may not be conducted on on-clock time nor may any amounts collected be included in committee fund records and reports.

.44 Safekeeping of Funds

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.441 The employee social and recreational committee is responsible for the proper safeguarding of employee social and recreational funds. All funds received throughout a postal installation must be turned over to the employee designated to handle such funds. Only one fund may be maintained for each postal installation. Separate funds may not be maintained by stations or branches.

.442 One committee member should maintain the records with another committee member assigned to handle the funds when the amount of money involved warrants such division of duties.

.443 When the average balance of a fund is $100 or more, all funds, except those retained as petty cash, must be deposited in a bank or credit union. Deposits should be made as frequently as necessary consistent with the type and amount of funds received. Pre-numbered checks should be used for disbursements except disbursements for small amounts (less than $10) which may be made from petty cash.

.444 The employee social and recreational committee decides whether to maintain a bank or credit union account when the balance of the fund averages less than $100. Funds not deposited in a bank or other savings institution must be given the best protection available so that unauthorized persons do not have access to them. Normally, a safe should be used.

.45 Requirements for Banking and Investment of Funds

.451 Not more then one checking account should be maintained without the approval of the Regional Director of Finance. Checking accounts must be carried in commercial banks insured by the Federal Deposit Insurance Corporation unless no such insured bank is available locally. Balances in checking accounts (including normal float of outstanding checks) should ordinarily not exceed by any substantial amount the balances required to avoid service charges or thirty-day cash expenditures, whichever is larger.

.452 Current funds not required in the checking accounts, and all reserve funds must be:

a. Carried in interest-bearing accounts in federal credit unions or in federally insured banks or savings institutions if available locally. The balance in any individual bank or institution may not exceed $100,000.

b. Invested in Federal Government securities registered in the name of the organization and held in a safe deposit box or other secure depository.

.453 Social and recreational funds will be disbursed for the benefit of all employees and should not accumulate over the years.

.46 Expenditures of Funds

.461 General. Employee social and recreational funds are for providing recreational and social activities for the benefit of all postal employees. Expenditures should not be made that will benefit only a single group, organization, or individual.

.462 Appropriate Expenditures. The following are examples of appropriate expenditures that may be made by the employee social and recreational committee. The examples are not all inclusive. There are many other types of expenditures that may properly be made which will be for the benefit of all the employees. Questions relating to the appropriateness of intended expenditures should be referred to the Regional Director of Employee and Labor Relations.

a. Gift to the employee or wife of the employee for a new baby. (The same criteria must be used for all employees.)

b. Retirement gifts for employees. (The same criteria must be used for all employees.)

c. Expression of sympathy for a death in the immediate family. (The same criteria must be used for all employees.)

d. An annual party, picnic, or other outing for all employees.

e. Seasonal and holiday non-sectarian decorations.

f. Sports programs.

g. Recreational activities available for all employees.

h. Scholarships for children of postal employees. (The same criteria must be used for all employees' children.)

i. Microwave ovens, refrigerators, games and recreational equipment for the swing room.

.463 Inappropriate Expenditures. The following are examples of inappropriate expenditures which should not be made by employee social and recreational committees:

a. Public charities.

b. Travel and/or expenses of employee organization officials to attend meetings.

c. Contributions to political campaigns.

d. Projects which alter or affect working conditions at postal installations.

615.5 Records and Files

.51 Receipts and Disbursements

.511 A designated member of the committee at each postal installation maintains a record of all monies received by or disbursed from the fund. This record must be maintained in a bound ledger. As a minimum, this ledger must have the following headings above columns on each page (see Exhibit 615.11—Sample Ledger):

a. Date
b. Explanation
c. Receipts
d. Disbursements
e. Balance

.512 When the number and type of disbursements make it practicable to record each of the different types of disbursements in separate columns, then additional columns may be established, along with a column headed total disbursements.

.52 Method of Recording

.521 Use permanent ink for all entries in the ledger. When an error is made before the balance is forwarded to a new page, draw a single line through the incorrect entry and insert the correct entry immediately above, and initial the correction. When an error is discovered on a page for which the balance has been forwarded, record the correction on the next blank line (in the column which will bring the ledger into agreement with cash on hand) and reference the page number and the line being corrected.

.522 Insert as the first entry on each page in the ledger the words *balance forwarded.* Record each different transaction on a separate line of the ledger. Do not make an entry when funds are deposited in the bank or credit union because such amounts should have been recorded as a receipt at the time they were received.

.523 Completely use each page of the ledger except when the end of a reporting period or an audit requires the balance to be recorded before a page is filled. Record balances by drawing a single line under the last daily transaction on a page and enter beneath this line the total of each individual amount column. Subtract the total of all disbursements from the total of the beginning balance and receipts column to determine the balance to be carried forward. The balance must always represent the amount of cash on hand and in the bank or credit union. Insert as the first entry in the beginning balance and receipts column on the next page the amount shown as balance brought forward.

.53 Check Book. When checks are used for disbursements, complete the stub of each check in ink as it is issued. The member of the employee social and recreational committee authorized to sign checks should not be the same person who receives and deposits funds. Reconcile the check stub balance periodically to the bank statement.

.54 Records of Assets

.541 Maintain a permanent record of all accountable property, including serial numbers, which is owned by the employee social and recreational committee. This includes assets:

a. Purchased outright,
b. Under lease purchase,
c. Purchased on an installment plan, and
d. Donated.

.542 Show for each item the location, date received, purchase price, amount of periodic payments, and amount still unpaid.

.55 Supplies Inventory. Inventory all supplies on hand by physical count at the end of the fiscal year, or more often if desired. List items under a separte heading for each building where located on date of inventory. Show description of the item, quantity, unit cost, and total cost. Unit cost may be taken from amount on the most recent bill. The chairman of the committee must sign the statement. Retain records of inventories for two years from date of inventory.

.56 Upaid Obligations. List all unpaid bills at the end of the fiscal year or more often if desired. Include all unpaid obligations except those listed in the record of assets. Show the date of the bill, name of vendor, description of purchase, amount due, and date due. The chairman of the committee must sign the listing. Retain for two years from date of listing.

.57 Files. The employee social and recreational committee at each postal installation must maintain chronological files of any of the following documents or other similar documents pertaining to the operation of the fund:

a. Paid invoices showing date paid (attach any delivery tickets to the related invoice).
b. Bank statements and related paid checks.
c. Statements from outside vending machine owners covering commissions received by fund or other items.
d. Supplies inventory and listing of unpaid obligations.
e. Financial statements, audit reports, and comments by the director, regional finance division.
f. Constitution and bylaws, agreements, or regulations covering operations and minutes of committee meetings.

615.6 Reports

.61 Frequency. Statements must be prepared by all employee social and recreational committees for each fiscal year, or more frequently if desired, to show the financial condition of the fund. Complete original forms by typewriter or in ink, using carbon for copies. The committee must maintain files of all original reports for two years from the date prepared.

.62 Report Format. A statement of receipts and disbursements must be prepared on Form 3241, *Statement of Receipts and Disbursements* (Exhibit 615.62). This statement must be signed by the chairman and treasurer of the social and recreational committee. Retain one copy of the prepared form in committee files, post copies on employee bulletin boards, and send the original and one copy to the installation head. The installation head must forward one copy of the form to the Regional Director of Finance, with the audit report prepared as described in 615.7. Headquarters-related units must forward one copy to the Controller, Finance Department.

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615.7 Audits

.71 Frequency. An annual audit must be made of employee social and recreational committee funds. More frequent audits may be made, as circumstances dictate.

.72 Who Makes the Audit

.721 The head of each installation shall recommend an audit as prescribed in 615.73 when the size and complexity of an operation justifies such action.

.722 The Regional Director of Finance will review such recommendations and advise installation heads whether an outside audit should be made, and may also require that an audit be made irrespective of any recommendations.

.723 When an outside audit is not made, the installation head will appoint at least three employees as an audit committee. Normally, the audit committee should be made up of postal system auditors or accounting personnel. This committee may not include any employees responsible for receiving, disbursing, or having custody of funds connected with the vending operations. When three employees are not available, the installation head may make the examination.

.73 Outside Auditor. When the Regional Director of Finance determines that an independent audit is advisable, this audit must be made in accordance with generally accepted auditing standards by independent certified public accountants, or independent licensed public accountants, certified licensed by a regulatory authority of a state or other political subdivision of the United States. If the installation head has a question as to whether public accountants in the area are certified or licensed by a regulatory authority, he must write the Regional Director of Finance. If public accountants are not licensed or certified, independent audits must be made by certified public accountants.

.74 Audit Requirements. At a minimum, the audit committee's review must:

a. Determine that the employee social and recreational committee fund is being operated in accordance with prescribed instructions and bylaws.

b. Review the immediately preceding audit report for any improper practices previously noted.

c. Verify that the records are maintained properly and reflect cash on hand and in bank. (This verification should be made on an unannounced or surprise basis.)

d. Determine that proper percentages for vending machine receipts are being paid and recorded.

e. Review all receipts from sources other than vending machines and interest or dividends.

f. Review all disbursements for their propriety.

.75 Content of Audit Report. As a minimum, the audit report must include:

a. A brief statement of the work performed by the auditor or audit committee.

b. Copies of statement of receipts and disbursements as described in 615.62.

c. An opinion as to whether the employee social and recreational committee fund is being operated as prescribed by this instruction and committee constitution and bylaws.

d. An opinion on the statements prepared by the employee social and recreational committee with any adjustments recommended.

e. A detailed listing of deviations from instructions including disbursements for questionable or unauthorized purposes and other deficiencies.

.76 Distribution. The audit report must be submitted in triplicate to the head of the installation within 60 days after the close of the fiscal year. A copy must be posted on employee bulletin boards. One copy of the report, signed by all members of the audit committee or the outside auditor, must be submitted promptly to the Regional Director of Finance by the installation head.

.77 Follow-up Action. The installation head is responsible for seeing that proper practices are followed and deficiencies are corrected. Where deficiencies have been noted, the installation head should report by memorandum, the corrective action taken, to the Regional Postmaster General.

.78 Review and Comments by Regional Director of Finance. The Regional Director of Finance reviews the audit reports to determine that they are complete and that there is no indication the committee operations are not in accordance with the prescribed accounting instructions. If a report is considered inadequate, the Director of Finance may request additional information from the installation head or request further examination of the records. The director may comment on significant items for the information of the installation head, the Regional Postmaster General, the Regional Director, Employee and Labor Relations, and the committee. Any evidence of deficiencies in internal controls or financial irregularities of any kind should be brought to the attention of the installation head.

.79 Inspection Service Audit. The Inspection Service may periodically audit the employee social and recreational committee operations and funds and will have complete access to all records and documents pertaining to the committee activities.

615.8 Tax Status of Social and Recreational Funds

.81 The Internal Revenue Service has ruled that employee social and recreational committees which are established and operated in accordance with these regulations are an integral part of the Postal Service and are not subject to federal income taxation and are not required to file federal income tax returns.

.82 *Failure to adhere to the regulations might result in significant income tax liability for the Employee and Social Recreational Committee or for individual members of the committee.*

DATE	ACCOUNT TITLE OR EXPLANATION of EXPENDITURE	RECEIPTS	DISBURSEMENTS	BALANCE
1-16-78	Balance Forwarded			4122.22
	Berkley Photo—Payment		323.50	3798.72
	Berkley Photo—Sales	403.62		4202.34
	Sta. A Return—Xmas Decorations	36.93		4239.27
	Harry House - Return Xmas Decorations	5.79		4245.06
	Kings Dominion Sales Dept			
	Payment For 143 Tickets		929.50	3315.56
	Dividend—Interest For 1-1-78	72.48		3388.04
2-22-78	Berkley Photo—Receipts	211.30		3599.34
	Berkley Photo - Payment		145.41	3453.93
4-11-78	Smith Music Co—Piano Rental		85.09	3440.78
	Berkley Photo—Receipts	138.06		3578 78
	Berkley Photo—Payment		90.18	3488.60
	Dividends—Interest For 4-1-78	55.28		3543.88
4-17-78	Hermans Supermarket			
	Picnic Supplies		276.80	3267.08
5-8-78	Smithtown Dept. of			
	Recreation—Grounds Fees		82.00	3185.08
5-9-78	Picnic Supplies Returned	35.00		3220.08

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Exhibit 615.511—Sample Ledger

Read instructions on reverse before completion.

U.S. POSTAL SERVICE EMPLOYEE SOCIAL AND RECREATIONAL FUNDS **STATEMENT OF RECEIPTS AND DISBURSEMENTS**	POST OFFICE AND ZIP CODE	FOR FISCAL YEAR ENDED OCT ____ 19 __

Read instructions on reverse before completion.

LINE	DESCRIPTION			VENDING OPERATION	OTHER ENTERPRISES	TOTAL
1	BEGINNING CASH BALANCE *(Must agree with ending cash balance, prior year)*			▨	▨	
2	RECEIPTS		FROM COMMISSIONS *(Vending ONLY)*		▨	▨
3			FROM INTEREST OR DIVIDENDS	▨		▨
4			OTHER *(Itemize and describe on reverse)*	▨		▨
5			*TOTAL RECEIPTS (2 + 3 + 4)*			
6	TOTAL BEGINNING CASH BALANCE AND RECEIPTS *(1 + 5)*			▨	▨	
7	DISBURSEMENTS		VENDING EXPENSES *(Itemize and describe on reverse)*		▨	▨
8			*TOTAL VENDING EXPENSES*		▨	
9		PROFIT FROM VENDING OPERATION *(2 - 8)*			▨	▨
10		EMPLOYEE BENEFITS	BIRTHS, DEATHS, WEDDING GIFTS	▨		▨
11			RETIREMENTS OR SEPARATIONS	▨		▨
12			PICNICS OR DINNERS	▨		▨
13			ATHLETICS	▨		▨
14			NEWSPAPER AND MAGAZINE SUBSCRIPTIONS	▨		▨
15			BANK SERVICE CHARGES AND EMPLOYEE BONDING COSTS	▨		▨
16			OTHER *(Itemize and describe on reverse)*	▨		▨
17			*TOTAL EMPLOYEE BENEFITS*	▨	▨	
18		TOTAL DISBURSEMENTS *(8 + 17)*		▨	▨	
19	ENDING CASH BALANCE *(6 - 18)*			▨	▨	
20	ANALYSIS OF ENDING CASH		CASH ON HAND	▨		▨
21			CASH IN CHECKING ACCOUNTS	▨		▨
22			CASH IN SAVINGS ACCOUNTS OR INVESTMENTS	▨		▨
23	TOTAL CASH *(Must agree with Line 19)*			▨	▨	
24	TOTAL UNPAID OBLIGATIONS *(Bills received by the Committee and not yet paid)*			▨	▨	
25	TOTAL UNOBLIGATED FUNDS *(19 or 23-24)*			▨	▨	

CHAIRMAN		TREASURER	
DATE SIGNED	SIGNATURE	DATE SIGNED	SIGNATURE

PS Form 3241
July 1979

Exhibit 615.62 (p.1)—Form 3241

DESCRIPTION	AMOUNT
OTHER RECEIPTS	
TOTAL (To be shown on Line 4)	
OTHER VENDING EXPENSES	
TOTAL (To be shown on Line 7)	
OTHER EMPLOYEE BENEFITS	
TOTAL (To be shown on Line16)	

INSTRUCTIONS

GENERAL

All copies must be signed by the chairman and the treasurer of the Employee Committee, and dated.

Distribute as follows:

Original – To be retained by committee
Copy 1 – To Regional Director, Finance with Audit Report
Copy 2 – To installation head, with Audit Report

A copy may be posted on the employee bulletin board.

If additional space is required, attach separate sheet and reference by Line No.

SPECIFIC LINES

1 Enter ending cash balance from last report

2 Enter the first column only income from sales or commissions from vending machines.

3 Enter income from interest or dividends in column headed "Other Enterprises."

4 Enter income from other enterprises in the second column.

5-6 Self-explanatory.

7 Show operating expenses ONLY. Enter in the first column expense for items essential to the vending operation in the sale of beverages, food, or commodities.

8-9 Self-explanatory.

10-16 Enter disbursements for employee benefits by category

17-19 Self-explanatory.

20-22 Enter cash items by category. Line 23 should agree with Line 19. If the amount in Line 23 and the amount in Line 19 do not agree, attach an explanation.

23-25 Self-explanatory.

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Exhibit 615.34

Sample Constitution

ARTICLE I—NAME

Post Office Employee Social and Recreational Committee

ARTICLE II—PURPOSE

This Committee is organized (1) to provide social and recreational activities for the benefit of all postal employees; and (2) to receive such funds as may accrue to the committee and use them advantageously for the purposes and objectives as set forth above. No profits shall accrue to the benefit of any single group, organization, or individual.

ARTICLE III—MEMBERSHIP

The installation head shall be Chairman of the Committee. There shall be a representative on the Committee for each craft or occupational group of employees and supervisors. Appointments to the Committee shall be in the manner prescribed in Postal Service regulations. With the approval of the Committee and the installation head, committee members may be compensated for the service they perform, as such members, outside their normal duty hours.

ARTICLE IV—TIME AND PLACE

The employee social and recreational committee shall meet regularly but in any event, no less than once each six months. Special meetings may be scheduled by the Committee (1) at a regular meeting, (2) when called by the installation head, or (3) when three-fourths of the members petition the Chairman in writing for such a meeting. A proposed agenda must be submitted with the request. The Chairman will set the date of the meeting not later than (*number*) days after receipt of the request. Members shall be notified of the time, place, and date of the meeting at least (*number*) days before the meeting. The committee shall meet on official time.

ARTICLE V—OFFICERS

The officers of this Committee shall be Chairman (installation head), Secretary, and Treasurer. The Secretary and the Treasurer shall be elected at the first meeting. Their terms shall be for one year and election shall be by a majority of the Committee. All vacancies in the office of Secretary or Treasurer occurring before completion of term of office shall be filled from the Committee through an election by the Committee and shall run until the end of the predecessor's term.

ARTICLE VI—GENERAL DUTIES

The Committee shall function in all respects as a normal committee with a majority controlling within the limitations prescribed by this Consitution and By-laws. It shall be the duty and obligation of each appointed member to accept, and carry out to the best of his ability, any and all duties assigned to him.

ARTICLE VII—MOTIONS

Any motion involving expenditure of the Committee's funds shall be carried by three-fourths vote. All other motions may be carried by a majority vote. A secret vote may be called by any member of the Committee, on any motion, and may not be denied. On oral motions, names of dissenting members of the Committee shall not be noted in the minutes unless the dissenting member so requests. The Chairman, or his designee, shall vote. This provision does not restrict the authority of the installation head in his capacity as installation head.

ARTICLE VIII—SUBCOMMITTEES

The Committee may form subcommittees when needed. All subcommittee reports must be considered and approved by the Committee before final action can be taken.

ARTICLE IX—AMENDMENTS

Amendments of this Constitution may be proposed in writing by the Chairman or by three members of the Committee. No action may be taken on proposed amendments until the meeting following the one at which the proposed amendment has been read. A three-fourths vote of the Committee is required to amend this Constitution. No part of the Constitution or its By-laws may conflict with Postal Service regulations.

THE FOREGOING CONSTITUTION WAS PRESENTED TO A FULL COMMITTEE ON (date) AND WAS ADOPTED ON THAT DAY.

Signature	Signature ....
Signature	Signature ....
Signature	Signature ....
Signature	Signature ....
Date	Postmaster ....

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Exhibit 615.34 (p. 2)—Sample Constitution

Exhibit 615.35

SAMPLE BY-LAWS

1. Order of Business

Order of business and conduct of meetings must be in accordance with Roberts' Rules of Order:

a. Roll call
b. Reading of minutes of previous meeting
c. Treasurer's report
d. Reports of officers
e. Election of officers (when required)
f. Reports of committees or subcommittees
g. Reading of communications
h. Unfinished business
i. New business
j. Adjournment

2. Attendance

Attendance at all regular metings normally is limited to designated representatives and alternates. Visitors and observers must be approved in advance. It is the duty of all appointed members to attempt to attend all meetings. Each member is obligated to notify his alternate representative that he is unable to attend a meeting so that the alternate may attend. At the first meeting of the new committee, there shall also be present any superseded officers of the previous committee for the purpose of effecting an orderly transition from the old committee to the new one.

3. Quorum

Three-fourths of the full committee is required as a quorum for the transaction of business. All expenditures for employee social and recreational activities requires a three-fourths vote of the full committee.

4. Chairman

The installation head is the Chairman. He will preside at all meetings or designate an official member of his staff to attend in his stead. He has the powers and duties usually incident to such an office: Signing all checks, bank drafts, authorizations, and vouchers of the Treasurer as may be ordered by the Committee; voting; and having the power to call special meetings whenever he deems it necessary.

5. Secretary

The Secretary attends all meetings of the Committee; takes minutes of the proceedings; transcribes them in a permanent record; and furnishes a copy of these minutes to each member within *(number)* days after the meeting. The Secretary keeps a record of all recreational and social activities and such other records as may definitely establish and maintain a history of its activities; makes public all appointments to the Committee and names of elected officers; and prepares an annual report for the benefit of all postal employees. It shall further be the Secretary's obligation to send out such correspondence deemed necessary by the Committee. In the Treasurer's absence, the Secretary must countersign checks and bank drafts with the Chairman.

6. Treasurer

The Treasurer receives receipts and pays all bills of the Committee, and makes the necessary deposits by the *(date)* day of each and every month in such depositories as designated by this Committee; keeps a permanent record of all bills and deposits; prepares a written report of the financial condition of the Committee, showing the receipts and disbursements, at each meeting of the Committee; countersigns with the Chairman all checks and bank drafts; and furnishes all financial reports as required by postal regulations.

7. Expenditures

All checks and/or bank drafts must be signed by the Chairman and countersigned by the Treasury or the Secretary.

8. Profits

Normally, not more than ten percent of all profits received during a year may be carried over to the next year.

9. Compliance with Postal Service Regulations

The Committee must operate under its Constitution and these By-laws and in accordance with the law and Postal Service regulations and instructions.

10. Amendment

Amendment to these By-laws may be made in the same manner as set forth in the Constitution.

11. Suspension

These By-laws may be suspended only by unanimous consent of this Committee.

616 Savings Bonds Program

616.1 Payroll Savings Plan

The Postal Service cooperates with the Department of Treasury in the U.S. Savings Bonds Program. The plan permits employees to authorize withholdings from their salary to purchase bonds.

616.2 Participation

.21 New Employees. Advantages of the savings bond program are explained to al! new employees during their orientation. Each employee is given the opportunity to enroll in the payroll savings plan.

.22 Sustaining Program. Employees are regularly reminded of the financial advantages of bond investments. Imminent retirees are advised of the advantages in exchanging *Series E* for *Series H* Bonds.

.23 Exception. Employees serving in time limited/intermittent appointments.

661.3 Authorization

Employees complete SF-1192, *U.S. Savings Bond Authorization for Purchase and Request for Change,* to authorize deductions by pay period and to change deductions or bond denominations. This form is forwarded to the PDC.

616.4 Issuance/Refunds

The PDC issues and mails bonds when deductions are sufficient to pay for them. Bonds in denominations of $50 or higher are dated the first day of the month in which at least half of the purchase price is accumulated. The PDC also refunds withheld deductions insufficient to purchase a bond if the employee is separated from service or cancels withholding authorization.

616.5 Annual Campaign

.51 Organization. A campaign is conducted throughout the government to encourage employee participation in the Savings Bonds Program through payroll allotments. All employees receive complete information and have an opportunity to participate in the plan or to increase their present allotments. This decision must be the employee's alone without pressure or coercion, either direct or implied. The PMG appoints a bond chairperson to coordinate the servicewide campaign and designates each group, region, and department head to serve as vice chairpersons. Those appointed select a coordinator and enough other people to conduct the drive.

.52 Supplies. The Treasury Department usually distributes materials directly to post offices. Allotment cards are stocked in the supply centers. Supplies are ordered before the campaign begins.

.53 Reports. PDCs provide reports showing base strength by installation, number of employees currently enrolled, and percent of participation. If necessary, additional reporting requirements are provided by separate instructions before each campaign. PDCs and USPS employees must not provide or maintain any list of participants or non-participants in the bond program.

.54 Records. Bond allotment records contain personal information about employees. They must therefore be handled and disclosed only as stipulated in the Privacy Act and implementing instructions. Allotment records and related correspondence are maintained in the privacy system under USPS 050.020, *Finance Records—Payroll System.*

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616.6 Awards

.61 Criteria. In cooperation with USPS, the Department of the Treasury awards installations that meet campaign criteria. Awards vary with the number of employees at the office or installation to be recognized. An installation or employee group must have a minimum of 75 percent participation. To find this percentage, the number of employees buying bonds through payroll allotment is divided by the number of full-time regular employees on the rolls—in June and December. Criteria:

No. of Employees	Percent	Original Award	Repeat Award
1000 or more	75%	Treasury Minuteman Flag (5' x 8')	A white star is placed at the lower corner of the flag nearest the staff for each year up to 5 yrs. After 5 yrs., remove white stars and affix a gold star.
500-999	75%	Treasury Minuteman Flag (3' x 5')	Same as above.
100-499	75%	Treasury Blue Minuteman Banner (18' x 23')	A streamer or stars of different colors for each successive year.
25-99	75%	Concord Minuteman Lithograph (13' x 16')	New each year.
Less than 25	75%	Treasury Award Citation (12' x 9' or 10' x 8')	New each year.

.62 Letter of Request. The bond chairperson determines award eligibility and writes a letter of request to Employee Relations. Sample letter:

APMG, Employee Relations Department
Employee & Labor Relations Group
Headquarters, U.S. Postal Service
Washington, DC 20260

Attention: Savings Bond Awards

The listed installations or employee group in this region (Headquarters) have qualified for the U.S. Savings Bonds Awards according to critera during the (Year) annual campaign.

1. Original award for Treasury Minuteman Flag
   (Specify 8′ x 5′ or 3′ x 5′. List installations groups.)
2. Repeat service stars for Treasury Minuteman Flag
   (State white or gold stars. List installations/groups and dates of original award.)
3. Original Treasury Blue Minuteman Banner
   (List installations/groups.)
4. Repeat streamers/stars for Treasury Blue Minuteman
   (List installations/groups and dates of original award.)
5. Concord Minuteman Lithograph
   (List installations/groups.)
6. Treasury Award Citation
   (List desired number.)

(Please specify the permanent mailing address(es) for awards.)

/S/
(Group, Region, and Department)

Bond Chairman/woman

620 Career Development

(To be published later)

blank page

630 Suggestions and Incentive Awards

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631 General

631.1 Policy

Recognition and reward are given to individuals or groups for their suggestions, inventions, outstanding achievements, superior competence, or other personal efforts that improve USPS effectiveness. Similar recognition is granted for special acts or services in the public interest related to USPS employment. Special contests and awards not specified in this chapter must be approved by the APMG, Employee Relations Department before implementation.

631.2 Purpose

The key objective is to improve the economy and efficiency of postal operations by making full use of employee skill, intelligence, and resourcefulness. Awards demonstrate the high value management places on excellent performance, exceptional achievement, constructive ideas, and well conceived improvement proposals.

631.3 Management

.31 Postal managers use review and control procedures necessary to identify individual performance, programs, or operational areas of superior work. Awards are considered when selecting employees for reassignment and promotion. Management must also ensure that related actions, such as merit performance reviews, are fully considered to maintain compatibility between awards and other relevant factors.

.32 It is the responsibility of all levels of management participating in the approval authority of these awards to insure that all deserving employees are treated fairly and equitably. In this regard MSC managers, BMC (General) Managers, District Managers, Regional Managers and Headquarters officials must annually audit the awards process.

632 Cash Awards

632.1 Amounts

The maximum allowable award is $10,000. Exception: $10,000 to $35,000 may be awarded for a highly exceptional contribution after approval by the PMG. A cash award is in addition to regular salary and is considered income under federal tax laws. Income tax must be withheld from each award.

632.2 Approval.

Authority to approve awards:

a. PMG. Maximum amounts and exceptional awards over $10,000 but not over $35,000.

b. RPMG/DPMG/Executive Assistant to PMG, SAPMG. Up to $10,000.

c. Other Officials. Less than $10,000 in amounts set by PMG, DPMG, RPMG, SAPMG (see 634.38).

632.3 Basis

.31 Individual. Based on the estimated dollar value benefits or the level of application for the first full year that an improvement is in operation.

.32 Group. Based on the value of the contribution and not on the number of employees involved. The award may be apportioned equally or unequally among the group in proportion to the value of the contribution by each individual.

.33 Regional Postmasters General. RPMGs direct subordinate offices to maintain records and furnish data to enable each region to submit an annual report to the APMG for Employee Relations on its program activity for Employee Suggestions and Incentive Awards at the end of each fiscal year.

632.4 Processing (Form 1727)

.41 Category Codes. Initiate cash awards on Form 1727, *Incentive Award Authorization,* and indicate category codes:

	Category Code		
Benefit Category	Suggestion	Energy	Special Achievement
Measurable	11	13	
Non-measurable	15	17	25

.42 Joint Awards. Complete a separate Form 1727 covering each individual's share of the gross award. Assign each form the same award number, using suffix letters A, B, C, etc. On each, use the category code applying to the gross award for the group, but enter dollar-value benefits on only one of the award authorization forms.

.43 Payment. Forward approved Form 1727 to PDC for award check. Checks are issued weekly.

.44 Acceptance

Acceptance of an award constitutes employee agreement to forego any further claim on USPS by self, heirs, or assigns. The employee understands that the award is based on the benefits of the contribution to USPS, as judged by management.

632.5 Non-Cash Awards

An employee contribution that fails to meet minimum standards for a cash award may be recognized by a letter of commendation, certificate, or similar gesture of appreciation.

632.6 Privacy Act

.61 Award records contain personal information. They must therefore be handled and disclosed only as stipulated in the Privacy Act and implementing instructions.

.62 A record of cash awards received by the employee is maintained in the privacy system *(USPS 120.070, Personnel Records—General Personnel Folders—Official Personnel Folders and Records Related Thereto).* Achievement Awards are maintained in *USPS 120.100, Personnel Records—Performance Awards System Records.* All formally submitted suggestions are maintained in *USPS 120.050, Personnel Records—Employee Suggestion Control.*

632.7 Presentation Ceremonies

Whenever possible, installation heads must (a) coordinate publicity with public information personnel and (b) provide an appropriate ceremony for each award in the presence of the employee's managers, co-workers, and family.

633 Employee Suggestions

633.1 Policy

.11 It is the policy of the U.S. Postal Service to encourage its employees to contribute practical ideas which will improve the overall effectiveness of the Postal Service. These ideas are to be promptly and decisively evaluated to ensure that their value is quickly realized.

.12 The Employee Suggestion Program provides the method through which certain employee proposals are best processed. It provides an easy and vital means of communication between employees and management. It is not a substitute for channels which are prescribed by the organizational structure and is not to be used as a means for circumventing such normal channels.

.13 Recognition for an adopted suggestion is granted to the employee whose suggestion "triggered" the management action.

.14 Appropriate recognition is granted to an eligible employee whose suggestion is adopted, provided there is clear evidence that the suggestion resulted in an improvement to service, an increase in efficiency, or other substantial benefits.

633.2 Goals and Objectives

.21 To provide a method for the processing of employee ideas.

.22 To provide for monetary savings and improved service through reduction in operating costs and increased efficiency.

.23 To reward employees for adopted suggestions and provide for appropriate recognition.

.24 To improve employee morale and enhance job satisfaction.

.25 To improve communication between employees and management, creating a spirit of team-work.

.26 To provide an incentive for stimulating employee thinking, thereby encouraging self-expression.

.27 To improve safety practices and enhance working conditions.

633.3 Responsibilities

.31 APMG, Employee Relations Department

a. Provide overall program leadership.
b. Issue instructions and regulations concerning the program.
c. Establish award standards.
d. Evaluate the effectiveness of the program.

.32 Regional Postmaster General

a. Provide regional program leadership.
b. Ensure program compliance.
c. Provide for logical progression and decisive evaluation of suggestions.
d. Audit program activities.

.33 District Manager, MSC Manager, BMC Manager, and Installation Head

a. Provide local program leadership.
b. Assure program compliance.
c. Provide for sound evaluation of each suggestion.
d. Ensure timely implementation of adopted suggestions to guarantee capture of potential savings.
e. Establish a review committee procedure (Specific duties will be contained in the Suggestion Administrators Handbook.)

633.4 Definition

.41 A suggestion is a constructive proposal submitted on Form 1269, *Employee Suggestion*, by an active postal employee. It defines a weakness in the present system and recommends a change resulting in benefits to the Postal Service. A suggestion may involve a recommendation for change to:

a. Improve safety performance.
b. Improve service to the public.
c. Do a job better, faster or cheaper.
d. Simplify or improve tools, methods, or procedures.
e. Conserve material, money, manpower, property or energy.
f. Move the mail faster, easier, or more efficiently.

.42 A suggestion is not:

a. A submission which calls attention to a problem but offers no specific solution.
b. An idea relating to matters in union contracts.
c. A recommendation on employee off-the-job activities.

d. A proposal on service or benefits to employees, credit unions, repair and improvement of buildings and grounds, parking, or transportation, unless they relate to improved service to the public, to measurable savings, or to employee safety and health.

e. A request for routine repair or maintenance.

f. A proposal relating to a new stamp, such as stamp design; stamp denomination; or nomination of a person, place, or incident to be commemorated.

g. A proposal for the clarification of a regulation.

h. An idea or design for a poster, slogan, or advertising matter.

i. A proposal for changes in postal rates and fees, or changes in classes of mail.

j. A correction of obvious errors or misprints in published directives, or the updating of items when changes in titles, organization designations, or addresses on forms and printed matter are made necessary by organizational changes.

k. A recommendation for the minor modification of a printed form, such as the relocation of some element, the widening of a column, the addition of an entry such as a telephone number, a change to precarboned or snap-out format, or the addition of a copy.

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633.5 Eligibility

All employees are eligible for cash awards or recognition for adopted suggestions which result in savings/benefits to the Postal Service. To be eligible for a cash award within the framework of the Employee Suggestion Program, the idea must be beyond the scope of the job of the suggester. Adopted suggestions are considered eligible for an award only when the specific idea proposed triggered a management action.

633.6 Processing

All suggestions must be promptly and fairly evaluated at each level of management. A maximum timeframe of 30 days is allowed at each level to process employee suggestions.

633.7 Awards

.71 Measurable Benefits

Measurable benefits are established whenever it is possible to do so. The award for adopted suggestions resulting in measurable benefits of $250 or more is 10% of the first year's savings up to a maximum of $35,000. For those suggestion awards over $500, 50% of the award will be paid at implementation. After the suggestion has been in effect for 6 months, the estimated savings will be reevaluated. Based on this reevaluation, the balance of the award will be adjusted. In no instance will this reevaluation result in a total award amount less than the portion already paid.

.72 Nonmeasurable Benefits

The cash award amount or recognition provided for adopted nonmeasurable suggestions is based on a point evaluation system which appears on the reverse side of Form 1725.

The scale for this award is as follows:

Nonmeasurable Benefits Award Guide

Points	Award
Local	
Up to 40	Certificate
41 to 60	$25
61 to 80	35
81 to 100	50
District	
Up to 50	$50
51 to 75	75
76 to 100	100

Points	Award
Region	
Up to 50	$100
51 to 75	150
76 to 100	175
Service-wide	
Up to 50	$175
51 to 75	225
76 to 100	275

Note: Maximum Award for Service-wide application is $600.

633.8 Delegation of Award Authority

.81 Authorizations for awards of $10,000 or more must be sent by the Regional Postmaster General to the APMG, Employee Relations Department, for approval by the Postmaster General.

.82 Subject to the $10,000 limitation in 633.81, dollar limitations on cash awards which may be granted by installation heads is established by the Regional Postmaster General.

.83 Only locally implemented suggestions are awarded by installation heads. The level of management which can authorize adoption of the suggestion makes the award decision.

633.9 Funding of Awards

Responsibility for the funding of cash awards is placed at the level of adoption of the suggestion. When a measurable suggestion is adopted at more than one management level and more than one cash award results, the actual cash award amount funded by each management level is reduced by the amount of any previous cash award granted. Cash awards resulting from the adoption of a nonmeasurable suggestion are not reduced by any previous cash award granted.

634 Achievement Awards

634.1 Purpose

Achievement awards provide management with the means to recognize and reward employees, depending on the significance of their contribution. Similar recognition may be granted for special acts or services in the public interest related to postal employment.

634.2 Types

.21 Five Achievement Awards. Given for essentially the same reason—*superior performance.* Distinctions lie in the scope, effect, and degree of importance to USPS. The five are:

a. *Special Achievement Award*—(1) Regular/special duties are above average. (2) Achievements affect *minor* programs. (3) Achievements affect parts of a *broad* program. See also 634.3.

b. *Quality Step Increase*—Achievements affect same as (1), (2), (3) above. See also 634.4.

c. *Meritorious Service Award*—Achievements affect *important* programs. See also 634.5.

d. *Distinguished Service Award*—Achievements affect *major* programs. See also 634.6.

e. *Certificate of Appreciation*—See 634.7.

.22 Letter of Commendation. Achievements are better than average but do not warrant an award. Letter is written at discretion of USPS officers/managers and a copy is filed permanently in employee's official personnel folder.

634.3 Special Achievement Award (SAA)

.31 Description. Certificate in folder or frame, and a one-time cash award of up to $500.

.32 Eligibility. All employees on a step schedule.

.33 Basis. A contribution (sustained performance, achievement, invention, special act, or service) that exceeds usual work requirements. Criteria:

a. Exceed requirements in one or more important job elements for 12 months or more.

b. Devise new or improved methods that save manpower, space, materials, equipment, or other cost items.

c. Contribute to outstanding economy, efficiency, added income, or measurably improved service to the public.

d. Break production records or inspire others to improve quantity and quality of work.

e. Heroism in emergency at risk of life or personal safety.

f. Overcome unusual difficulties or demonstrate exceptional safety performance.

g. Maintain work schedule in absences of supervisor or meet unusual demands of higher level duties on own initiative.

.34 Procedures. Recommendation for award originates with the immediate supervisor or person with knowledge of the employee or group contribution. The nominee is not advised of the recommendation. The recommendation is initiated promptly but no later than 1 year after the date of the achievement, act, or period covering the performance.

.35 Form 1762, Performance Award Recommendation. Include:

a. Basis for recommendation and specific examples.

b. Dates of achievement, performance, act, or service.

c. Performance expected in the position involved.

d. Other evidence showing degree and extent of achievement.

e. Estimate of yearly monetary benefits.

.36 Evaluation. Line management evaluates the recommendation, decides if an award is warranted, and recommends the degree of recognition.

.37 Guidelines. Review the employee's job description, assigned duties, and performance requirements. Decide to what degree the contribution exceeds average requirements:

a. Measure amount of savings or degree of improvement effected in relation to job responsibilities. (Savings alone cannot be used to determine an award. Higher level employees are expected to effect more significant improvements and benefits than lower levels.)

b. Decide the extent of contribution benefits outside employee's immediate installation.

c. Consider the degree of ingenuity, magnitude of accomplishment, and non-monetary benefits (see 634.33).

d. Forward recommendation to authorized official.

.38 Approval (Form 1727). Approving authorities:

a. *Field.* Up to $250—Installation head. Over $250—MSC Managers, BMC (General) Managers, and installation heads with 500 or more employees. *Note:*

(*1*) Awards for those reporting directly to installation head are approved by the installation head's immediate superior.

(*2*) The Inspector-in-charge approves awards for field inspection service employees.

b. *Regions.* Up to $250—Immediate manager. Up to $500—RPMG. *Note:*

(*1*) RPMGs may approve cash awards of up to $500 for employees of their immediate staffs.

(*2*) The Regional Chief Inspector approves awards for Inspection Service employees within Regional Headquarters.

c. *Headquarters and Administrative Supporting Facilities.* Up to $500—APMGs, Department Heads, and General Counsel. *Note:*

(*1*) The PMG, DPMG, SAPMGs, and the Executive Assistant to the PMG may approve cash awards of up to $500 for employees on their immediate staffs.

(*2*) The Chief Postal Inspector approves awards for Headquarters Inspection Service employees.

.39 Disapproval. When the accomplishment fails to meet outlined criteria, a brief written explanation is sent to the person who made the recommendation.

634.4 Quality Step Increase (QSI)

.41 Description. Recognizes sustained high quality performance over the level required for a regular step increase—ranks above the SAA. The total dollar benefit usually exceeds that of a one-time cash award, and is granted only when the performance level is likely to continue.

.42 Eligibility. All employees on a step schedule except EAS. Limitation: An employee cannot receive more than one QSI in any 52-week period.

.43 Basis. High quality performance can be determined only after a thorough review of the position requirements, duties, and responsibilities. Consideration must be given to the quality and quantity of work, demonstrated professional and technical knowledge, manual skills, and other evidence of superior competence. Performance criteria:

a. The most important function of the job is being performed in a manner which substantially exceeds normal requirements.

b. Another function of the job is being performed in a manner which is better than satisfactory.

c. A specific job was sustained at a high level during the preceeding year and gives promise of continuing.

.44 Comparisons

.441 To Regular Within-Grade

a. QSIs require exceptional authorization by management and are always in addition to regular within-grade increases. Any employee below the highest step of the position is advanced to the next higher step according to the salary pay policy. (See Chapter 4.)

b. Awarding a QSI may change the due date for advancement to the next higher step. When the number of weeks of service required for advancement from the new QSI step is less than the time already served in the lower step, the employee is given one additional step. A new anniversary date is established.

.442 To Special Achievement Awards

a. The standards for a QSI and an SAA are similar. Employee performance is evaluated according to the conditions required under both awards to see which is more appropriate. (See 634.33 and 634.43.)

b. The primary difference is that the QSI is a continuing pay increase for continuing high performance; the SAA is a one-time cash award for a one-time contribution.

c. The SAA may be preferable when (1) a promotion or early retirement is planned and the employee would get little or no benefit from a QSI, (2) the employee is in or near the top of the grade, or (3) group recognition is desired.

.45 Procedures. Recommendation for a QSI is usually initiated by the employee's immediate supervisor, but may be initiated by others with the supervisor's concurrence.

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.46 Form 1762, Performance Award Recommendation. Complete Section B:

a. Specify how the employee's performance in the most important functions of the job substantially exceeds requirements. Cite specific accomplishments to illustrate.

b. State whether the employee's performance in all other elements has been satisfactory.

c. State whether, on the basis of past experience, the employee is likely to maintain a high level of competence.

d. Forward through channels to authorized official.

.47 Evaluation. Recommendations are evaluated by review of job descriptions and performance criteria (634.33 and 634.43).

.48 Approval. Authorized officials:

a. Field. MSC managers, BMC (general) managers, Heads of other installations with 500 or more employees, and Inspectors-in-charge may approve awards for employees under their jurisdiction. However, any award for an employee reporting directly to an approving official must be approved by the official's immediate supervisor.

b. Region. Regional Chief Inspector approves awards for inspection service employees. RPMG approves awards for all other employees within regional headquarters.

c. Headquarters/Administrative Supporting Facilities. Approval is vested in the APMGs, Department heads, General Counsel, and Chief Postal Inspector.

.49 Final Action. When the certified Form 1762 is returned, complete Form 50, *Notification of Personnel Action.* The personnel action code for QSI is 896. The effective date of the action is the first day of the first pay period beginning on or after the approval date on Form 1762. File approved Form 1762 with the official personnel folder copy of Form 50. (Authority: 39 USC 1003.)

634.5 Meritorious Service Award (MSA)

.51 Description. Citation certificate mounted on a wooden plaque and one-time cash award of up to $1000. Arrangements for mounting are made at the regional level as delegated by (a) the RPMG for field employees and by (b) the General Manager, Headquarters Personnel Division for Headquarters and Administrative Supporting Facility employees.

.52 Eligibility. All employees except PCES.

.53 Basis. A one-time contribution of excellent individual performance qualifies an employee for consideration of this award.

.54 Procedures. Recommendation is submitted promptly by the person having immediate knowledge of the performance, deed, or act. Include documentation:

a. A complete description of the contribution.

b. An explanation of the specific benefits/monetary savings accrued, or expected to accrue, during the first full year the contribution is in operation.

c. A description of any other recognition the individual received for the contribution.

d. An appraisal and recommendation by the originating installation head.

e. Form 1762 as a cover sheet.

.55 Evaluation. The recommendation is referred through management channels for review according to guidelines in 634.37.

.56 Approval. Region/field—RPMG. Headquarters and administrative supporting facilities—PMG or designee.

.57 Disapproval. A brief written explanation is sent to the originator of the recommendation.

634.6 Distinguished Service Award (DSA)

.61 Description. Citation certificate, a letter of commendation signed by the PMG, and a one-time cash award of up to $2,500. The certificate and letter are in a blue leatherette folder embossed with gold lettering and the recipient's name.

.62 Eligibility. All employees except PCES.

.63 Basis. An exceptional contribution or individual performance of major importance to the Postal Service is considered for this degree of recognition. This is the highest achievement award and includes:

a. Most unusual and exceptional contributions of major importance.

b. Original developments, major improvements, alterations of methods, procedures, issuances, or equipment resulting in extraordinary benefits.

c. Clear demonstration of unusual or extraordinary ability, talent, or leadership resulting in distinct and plainly identifiable benefits.

.64 Procedure. Recommendation is best initiated by the person having personal knowledge of the contribution. (See 634.54.)

.65 Evaluation. The process in 634.37 generally applies here. The exceptional significance of this award, however, anticipates broader analysis and far reaching impact.

.66 Approval. The PMG only.

.67 Disapproval. Written notice is sent to the originator.

634.7 Certificate of Appreciation

.71 Purpose. This nonmonetary award provides postmasters and other installation managers with a way to recognize and commend postal employees or private citizens for their contributions to the betterment of the Postal Service.

.72 Description. The award is a Certificate of Appreciation printed on 8½" x 11" parchment paper in black letters with a gold USPS seal.

.73 Responsiblity

.731 The General Manager, Headquarters Personnel, administers the program for Headquarters and its administrative support facilities. In each region, the Regional Director, Employee and Labor Relations administers the program.

.732 Section center managers administer the program to include their associate post offices. Any guidelines promulgated locally are to be kept simple enough to allow flexibility and latitude to recongize individual performance when a cash award is considered inappropriate.

.74 Approval Authority

.741 Postmaster Recommendations. The approval of the sectional center manager is required for the issuance of certificates of appreciation to those postal employees who are recommended by the postmaster. Postmaster/installation heads are free to recommend awards to suit local needs. A certificate of appreciation may be awarded to a private citizen upon the recommendation of a postmaster.

.742 Districts. District Managers will approve recommendations for District staff employees, MSC Managers, BMC Managers, and members of the general public they choose to recognize.

.743 Headquarters. The approval of the RPMG is required for awards recommended for all personnel on Regional Headquarters rolls and employees reporting directly to the Regional Office.

.744 Other. In Headquarters, each SAPMG, the General Counsel and the Chief Postal Inspector, APMG, and separate department head may approve the award to employees or to those private citizens who may be nominated by a manager of the postal organization. The PMG is the approving official when the contribution has national impact. ***Note:*** A commendatory letter may accompany the certificate of appreciation at the discretion of the approving official.

.75 Administration

.751 Certificates of appreciation may be issued to employees for exceptional contributions which do not meet the standards or otherwise qualify for cash awards. They may also be issued to private citizens for noteworthy assistance to the Postal Service. Examples of such contributions are:

a. Reflecting credit on the Postal Service through Civic service and humanitarian endeavors.

b. Participating significantly in Postal Service programs such as Savings Bond, Combined Federal Campaign, blood donor, etc.

c. Performing exceptionally in one or more important job projects.

d. Meeting unusual demands on own initiative, along with regularly assigned duties during unplanned absences of associates.

e. Improving public relations or sustaining good public relations in unusual circumstances.

f. Enabling the unit to meet unanticipated demands by performance of unusual duties for short periods at the same or higher levels than regular duties.

g. Demonstrating unusual courage or competence in an emergency.

h. Improving service through actions that postal management feels are significant.

.752 Headquarters Employee Relations Department is responsible for maintaining the stock of Certificates of Appreciation in the Eastern and Western Area Supply Centers. Normal requisitioning procedures are applicable. These item numbers have been assigned:

Item No.	Description	Signature
0-1100-E	Cert. of Apprec.	Postmaster General
0-1100-F	Cert. of Apprec.	Blank Signature Block

.753 Certificates of Appreciation are presented by the immediate supervisor or higher official with appropriate cermony and publicity in the presence of top officials and co-workers, preferably at employees' work site.—

635 Service Award

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635.1 Basis

.11 The USPS recognizes extended employee service at the time of retirement, after 25 or 35 years of service, or at death.

.111 Retirement. To employees who retire (1) under the optional provisions of the retirement law, (2) due to disability and (3) mandatory retirement for Postal Inspectors at age 55 with 20 years of law enforcement.

.112 For 25 and 35 years of Service

a. ***Basis.*** This service award recognizes employees who have completed 25 and 35 years of creditable service to the government. It provides postal management with a means to recognize the extended service of USPS employees by the awarding of service award pins.

b. ***Description.*** The 25-year service award is a silver-filled *antique finish* lapel pin/tie tack design with the USPS emblem and the number 25 imprinted to indicate that the employee has completed 25 years of creditable service. The 35-year service awards are gold-filled pins of the same design.

c. ***Responsibility.***

(*1*) The General Manager, Headquarters Personnel Division, administers the program for Headquarters and its administrative support facilities. In each region, the Regional Director, Employee and Labor Relations, administers the program for personnel on Regional Headquarters rolls and employees reporting directly to the regional office.

(*2*) District managers administer the program for district staff employees, Management Sectional Center managers and Bulk Mail Center managers.

(*3*) Sectional Center managers administer the program to include their associate offices.

(*4*) The Chief Postal Inspector administers the program for Inspection Service employees.

d. ***Administration.*** The postal data center furnishes a printout semi-annually, April and October, listing all employees whose service computation date of record indicates elibility to receive the service award pin. Recipients of the report are: General Manager, Headquarters Personnel; regional directors, E&LR; district managers; sectional center managers; and Chief Postal Inspector. SCM managers furnish associate offices a list of eligibles together with pins.

e. ***Presentation.*** Service award pins are presented by installation heads/department heads or their designee, with appropriate ceremony and publicity, in the presence of top officials and co-workers, preferably at employees' work site. Presentation of the pin is accompanied by a letter of appreciation for service, signed by the installation/department head.

.113 At Death. To honor employees who die after 5 years creditable service. A special recognition certificate is presented posthumously to the nearest relative. Creditable service is defined as service that qualifies for retirement under the Civil Service Commission Retirement procedures. *Note:* For employees with less than 5 years creditable service who are killed in the line of duty, the PMG or RPMG may wish to send a letter to the family of the deceased expressing sympathy on behalf of the USPS.

.12 Years of service means years of total government service.

635.2 Responsibilities

.21 Field. Each installation head must insure the timely request and preparation of service awards for all employees prior to retirement by properly processing Form 1345, *Request for Service Award Certificate/Letter.*

.22 Regions. Within each region:

a. The regional director for Employee & Labor Relations administers the service awards program.

b. The RPMG's office coordinates 40-year service awards with Headquarters (see 635.21b).

c. The RPMG's office prepares awards for less than 40 years of service (see 635.32).

.23 Headquarters. Headquarters units have responsibility for all awards for 40 or more years of service and for all awards to employees at Headquarters and Administrative Supporting Facilities (ASFs) as follows:

a. The Employee Relations Department and the PMG's office are responsible for preparing service awards for all USPS employees with 40 or more years of service (see 635.316-c).

b. The General Manager, Headquarters Personnel, is responsible for preparing award certificates and letters for all Headquarters employees.

c. The PMG presents the awards to Headquarters and ASF employees. However, any department heads responsible for an ASF may delegate responsibility for presentation of awards to the head of the ASF.

635.3 Regional and Field Employees

.31 Forty or More Years Service. Whether presented posthumously or at time of retirement, the award consists of a service award certificate and a letter of commendation, both signed by the PMG. The certificate is enclosed in a retirement folder. The award is prepared as follows:

a. The appropriate field installation prepares Form 1345, *Request for Service Award Certificate/Letter,* and submits it to the RPMG's office.

b. The RPMG's office prepares a draft of the letter of commendation and submits it to Headquarters (for final typing) with the completed Form 1345.

c. The Employee Relations Department prepares the certificate and submits it with the draft of the letter to the PMG's office.

d. The PMG's office types the final copy of the letter, arranges for the PMG to sign the certificate and the letter, and sends both items to the RPMG for transmission to the appropriate installation for presentation.

.32 Less Than Forty Years Service. The appropriate field installation submits Form 1345 to the RPMG's office, which prepares the certificate/letter for the installation. Service recognition depends on the distinctions in the table below.

a. Death with less than 40 years service	Service award certificate and letter of commendation, both signed by RPMG. Certificate is enclosed in retirement folder.
b. Retirement with 30 but less than 40 years service	
c. Retirement with less than 30 years service	Service award certificate signed by RPMG and enclosed in retirement folder.

635.4 Headquarters and ASF Employees

.41 Thirty or More Years Service. Whether presented posthumously or at time of retirement, the award consists of a service award certificate and a letter of commendation, both signed by the PMG. The certificate is affixed to a wooden plaque.

.42 Less Than Thirty Years Service. (a) If presented *posthumously,* award consists of service award certificate and letter of commendation, both signed by PMG. Certificate is enclosed in retirement folder. (b) If presented at time of *retirement* award consists only of a service award certificate signed by the PMG and enclosed in a retirement folder.

635.5 Commendatory Letters

.51 Retirement Awards. See Exhibit 635.51 for a general example of a commendatory letter to be issued to a retiring employee. *Note:* the example is not intended as a form letter.

.52 Posthumous Awards. Letters to accompany posthumous awards may be best drafted by those close to the deceased.

635.6 Presentation

.61 Retirement Awards. Whenever possible, installation heads must (1) coordinate publicity with public information personnel and (b) provide an appropriate ceremony for each award in the presence of the employee's managers, co-workers, and family. Only under unusual circumstances should the award be mailed.

.62 Posthumous Awards. Presentation of posthumous awards must be tailored to the wishes of the family:

a. Contact the nearest relative to determine whether the recipient prefers to have the certificate presented formally or taken to the home.

b. At a formal ceremony, attendance should be limited to a few close friends and co-workers of the deceased.

c. When delivery to the home is preferred, the management representative should consider having some close friends of the deceased accompany him.

d. Careful mailing of the service award is a last resort.

635.7 Documentation. A permanent record is filed in the recipient's official personnel folder.

635.8 Supplies

.81 Certificates. Service award certificates are an item of supply in the Eastern and Western Area Supply Centers. They may be requisitioned from supply centers, using Form 7380, *Requisition for Supplies,* Dear Mr./Mrs. Cromwell:

It gives me a great deal of pleasure to present, with this letter, an honorary recognition certificate in commemoration of your more than 30 years of service.

The good reputation the Postal Service enjoys is built on the loyal service of people like you, and I am happy to commend you for your contribution to our efforts for a better postal service.

I wish to extend my warm personal greetings and the hope that you will accept this honorary recognition certificate as a symbol of my deep appreciation for a lifetime of truly commendable service.

Best wishes for many years of happy retirement.

Sincerely,

Public Library, Newark, N. J.

Mr./Mrs. Leonard T. Cromwell
City Carrier
United States Postal Service
Wichita Falls, Texas 76301

Exhibit 635.51—

Example of Commendatory Letter for Retiring Employee

during regular requisitioning cycles. Orders are to specify the following item numbers:

Item No.	*Certificate*
0-1100-C	Service Award–Retirement
0-1100-D	Service Award–Posthumous

.82 Folders. Service award folders are stocked in the Eastern and Western Area Supply Centers as Supply Item 0-1100-H. They may be ordered directly from the supply centers on Form 7380, *Supply Requisition.* All requisitions must be approved by the appropriate Management Sectional Center Manager or designee. The folders are a cost item and will be charged back to the requisitioning installation.

636 Benjamin Franklin Award

636.1 Description. The Benjamin Franklin Award is the highest award given by the Postal Service. It is a 12½ x 15 inch walnut plaque grouted to hold a parianware bust of Benjamin Franklin, an original 1847 issue of a five cent Benjamin Franklin Stamp, and an engraved metal plate attached to the plaque.

636.2 Eligibility. The PMG designates those to be honored. Recommendations may not be made to him.

636.3 Basis. This award is reserved for employees who meet the following criteria:

a. Served in a highly responsible USPS position.

b. Accomplishments had a unique impact on major postal programs.

c. Accomplishments effected an unusual degree of (1) significant improvement of service to the public, or (2) general overall improvements of operation.

636.4 Approval. The PMG alone approves this award.

636.5 Documentation. A permanent record of the award is documented in the recipient's official personnel folder.

637 Non-Postal Awards

637.1 General

.11 Explanation. The USPS participates in eight non-postal award programs to help recognize deserving postal employees. The awards are generally given each year. Announcements are made on a regular basis to give managers enough time to canvass for candidates and submit nominations.

.12 Nomination Deadlines. The PMG's office must submit nominations to the sponsoring organization by the deadlines specified below. Therefore, field managers must submit nominations to Headquarters 30 days before the specified deadlines.

Award	Due Date
a. Roger W. Jones	**January 15**
b. Federal Records	**August 15**
c. Association of Accountants	**March 1**
d. Joint Financial	**December 8**
e. William A. Jump	**February 1**
f. Arthur S. Flemming	**October 10**
g. Horace Hart	**November 4**

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637.2 Specific Awards

.21 Roger W. Jones Executive Leadership Award

.211 Purpose. To recognize, annually, two career executives at the level of the Senior Executive Service of the Federal government who have made outstanding contributions to national purpose through the development of a cadre of outstanding managers and specialists committed to their own professional development in order to better serve the public interest.

.212 Basis. Logical candidates are postal managers in designated Postal Career Executive Service (PCES) positions. The recipients of these unique awards will be selected from among those Federal career executives who have demonstrated:

a. Superior leadership which resulted in outstanding organizational achievements.

b. A strong commitment to the effective continuity of government by successfully bringing about the development of managers and executives.

.213 Sponsor. The American University, College of Public Affairs, School of Government and Public Administration.

.22 Federal Records Management Award

.221 Purpose. To honor and publicize the Achievements of federal employees with demonstrated outstanding leadership, ingenuity, and professional excellence in designing, promoting, or managing effective systems or programs that contribute significantly to the improved effectiveness and efficiency of federal paperwork.

.222 Basis. Paperwork includes the wide spectrum of information, documentation, and records management in the creation, flow, use, preservation, and disposition of all types of information and records. The management of records includes methods and media for information control, storage, and retrieval—including micrographic systems, word processing, and other automated technologies.

.223 Sponsor. Association of Records Managers and Administrators.

.23 Association of Government Accountants Award

.231 Purpose. To recognize government employees with demonstrated and sustained outstanding leadership and notable contribution to financial management. To encourage increased interest, growth, development and distinctive leadership in the field of financial management.

.232 Basis. Outstanding leadership was sustained over a period of years and was demonstrated both on the job and by significant contribution to the profession. Specifically:

a. Innovative thinking

b. Notable authorship

c. Creative research

d. Exceptional efficiency

e. Marked initiative that resulted in important savings or effectiveness in money, time, materials, personnel, or equipment

f. Distinctive activity that evidences the highest traditions of professionalism

.233 Sponsor. Federal Government Accountants Association.

.24 Joint Financial Management Improvement Award

.241 Purpose. To recognize exceptional achievement in financial management in federal, state and local governments. The overall objective is to improve and coordinate financial management policies and practices throughout the government for more effective program planning and operations. The term *financial management* includes, but is not limited to:

Accounting
Auditing
Automatic Data Processing
Budgeting
Cash Management
Control and Allocation of Resources
Cost Reduction
Financial Systems Development
Management Analysis
Planning
Productivity Measurement and Improvement
Reporting—Financial and Performance

.242 Basis. Evaluate nominations by:

a. Extent of dollar savings

b. Measurable improvement in financial management technology or methodology

c. The extent of long-term or lasting benefit

d. The impact on the nominee's office, agency, or government as a whole.

e. The extent of which the nominees' accomplishment(s) would have been impossible or significantly lessened without their direct involvement.

f. The extent to which the nominees' accomplishment(s) occurred in the past fiscal year or was a continuation or carryover from prior years.

.243 Sponsor. This is a joint program between the (a) Office of Management and Budget, General Accounting Office, Treasury Department, and (b) the Civil Service Commission.

.25 William A. Jump Award

.251 Purpose

a. To recognize outstanding service in the field of public administration, and for notable contribution in this

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field to the efficiency and quality of public service. Special recognition and encouragement for sustained interest, growth, and development providing an incentive to young people for high-level performance in this field.

b. In addition to the principal award, two honorable mention awards are granted to give wider recognition and encouragement to exemplary achievements of younger administration personnel who show great potential as future executive leaders in the field of public administration.

.252 Basis. Restricted to those 36 or younger. The standards of competition are: Performance over a considerable time must demonstrate unusual competence and interest in public administration, endowment for leadership, creative thinking and close adherence to the basic principles of enlightened public service.

.253 Sponsor. William A. Jump Memorial Foundation.

.26 Arthur S. Flemming Award

.261 Purpose. To recognize young men and women in the federal government with outstanding and meritorious work in executive, administrative, technical, and scientific fields. To attract young people to the government, encourage high performance standards in the federal service, and increase appreciation of our form of government along with the opportunities and responsibilities that it presents.

.262 Basis. Restricted to employees in the executive branch—39 or younger on January 1 of the year after nomination. Standards of competition:

a. General Accomplishment—outstanding executive, scientific, or technical ability or performance displayed by the nominee during a fiscal year—though not necessarily connected with a specific accomplishment or project.

b. Special Accomplishment—The nominee is primarily responsible for a contribution during the fiscal year, resulting in a substantial financial savings or significant social or technological progress.

.263 Sponsor. Downtown Jaycees of Washington, D.C.

.27 Horace Hart Award

.271 Purpose. To recognize individuals in the federal government for outstanding and meritorious work or significant contributions in the field of printing and publishing.

.272 Basis. Categories:

a. Aided in the developing of educational and training programs at the craft, managerial, or professional level.

b. Assisted in the expansion of printing and publishing by private enterprise through ideas, recommendations, and suggestions.

c. Made notable contribution to increased knowledge in this field.

d. Contributed to greater understanding of the present and future manpower needs, skills, training, and qualifications.

e. Developed products, techniques, or processes to advance technology.

f. Improved the design and appearance of government publications and reports.

g. Distinguished public service over a long period.

.273 Sponsor. Education Council of the Graphic Arts Industry, Inc., Pittsburgh, PA.

638 Safety Contests and Awards

638.1 Scope

This subchapter establishes the policy and procedure for implementing safety contests and awards under the USPS Incentive Awards Program. Awards programs established pursuant to this subchapter require specific approval of the RPMG as provided in 638.21. This program is distinct from the National Safety Council's Safe Driver Award described in ELM 842.2.

638.2 Responsibilities

.21 Installation Head. Installation heads are encouraged to initiate safety incentive programs, subject to the approval of the Regional Postmaster General. Selected incentives should have good motivational potential and a high probability for preventing accidents.

.22 Sponsoring Managers. Sponsoring managers must evaluate the programs at year's end on the basis of accident prevention to determine whether the program should be continued the following year.

.23 The RPMG. The RPMG will monitor all approved programs to determine annual expenditures, benefits derived, and total impact on the USPS Safety Program.

638.3 Types and Kinds of Awards

.31 Types. Awards are made both for safe driving and for industrial safety. They may be made only to individuals.

.32 Kinds. Cash prizes for safety award purposes are not authorized. Only tangible items, such as plaques, pins, certificates, letters of recognition, or commercial prizes (trophies, first-aid kits, fire extinguishers, smoke detectors, etc.) may be awarded. The specific value of each award can vary from program to program or be graduated within a program to coincide with progressive levels of competition, but in no event shall an award to an individual exceed an expressed retail value of $50.

Note. To ensure maximum interest, prizes must be appropriate for both sexes. Prizes should be alternated periodically or a variety of prizes should be made available for individual selection from a catalog.

638.4 Implementation

41. Structure

To achieve the broadest possible participation and facilitate control, all programs should be:

a. divided into competitive divisions or units, such as competition among districts, MSC's or associate offices; e.g., arranging competition between comparable units on a single tour or tour against tour, station or branch against other stations or branches.

b. conducted within a specific time frame, such as announcing contest winners on a monthly or quarterly basis, then concluding with an overall winner for the entire year.

.42 Eligibility

a. Employee eligibility for participation in safety contest and award programs is without regard to race, color, creed, religion, national origin, sex, age, marital status, or physical or mental handicap.

b. Incentive programs for safe drivers should include all operators of motor vehicles who qualify for the National Safety Council's Safe Driving Award Program.

c. Incentive programs for industrial safety should include all employees within an installation, sectional center, district or region, depending on the organizational level of sponsorship. Safety incentive programs aimed at a limited number of operational units with comparable occupational exposure within an installation are permissible so long as the programs are open to all unit employees.

d. The winning program participants (individuals, not groups) in both categories (driver and industrial) will not be eligible again for the same level of award until 1 year after receipt.

.43 Evaluation

a. Award recipients and/or contest winners should be selected by an impartial evaluation committee composed of a designated Safety Official, a representative from the involved employee group, and a member of management designated by the Installation Head. The employee group representative should be selected by the involved employee group, and the term of service as a representative on a particular evaluation committee should not exceed a year. The designation of alternate members is recommended.

b. Committee decisions must be based on careful analysis of the program or contest results. Depending on the rules or procedures of the particular program, this may consist of grading or rating various nomination forms, check-off lists, punch cards, or tickets which reflect achievement on a point system. Tie decisions can be broken by random selection (chance drawing) or other equitable elimination. The committee's decision is final.

.44 Limitations

Unless otherwise approved by the Regional Postmaster General, sponsoring MSCs or offices must not exceed two safety incentive programs (one in motor vehicle and one in industrial) per year, and total annual expenditure (awards, prizes, plaques, pictures, pins, certificates, etc.) per program or contest should not exceed the monetary ceilings established below.

a. MSCs and BMCs

Ceiling per Program:

	Annual
MSC II	$4,000
MSC III (BMC)	4,800
MSC IV	5,000
MSC V	5,200
MSC VI (including independent post offices)	5,600

b. Other

District Offices, Regional and National Headquarters Offices, AMF's, TMO's, PSO's, FREBO's, etc., have an annual expense ceiling *per program* based on number of employees, as follows:

Number of Employees	Ceiling
1 to 50	$1,000
51 to 100	2,000
101 to 250	2,500
251 to 500	3,000
501 to 750	3,600
750 to 1,000	3,800
1,000 to 2,000	4,000
2,000 to 3,000	4,800

Note: These ceilings may also be used by a large Associate Office when the Office is not included in an MSC Program.

640 Employee Claims

641 Policy

It is USPS policy to reimburse non-bargaining employees for loss or damage to their personal property when suffered in connection with or incident to their employment while on duty or while on postal property. Bargaining unit employees are covered by provisions of their collective bargaining agreement.

642 Requirements

Employee claims for reimbursement must meet these conditions:

a. The possession of lost or damaged property was reasonable or proper under the circumstances.

b. The damage or loss was not caused in whole or in part by a negligent or wrongful act of the employee.

c. The loss or damage did not result from normal wear and tear associated with day-to-day living and working conditions.

d. The loss or damage, taking into consideration depreciation, amounts to $10 or more.

e. The loss or damage claimed was not for a motor vehicle or the contents of a motor vehicle, *except in cases where payment would be equitable, such as unjust acts of retaliation, and extraordinary risk in performance of duty as in connection with civil disturbance, common or natural disaster, or efforts to save government property or human life.*

643 Claimants

643.1 Valid.

Only those listed may file claims:

a. Postal employee

b. Survivors—in this order:

  (*1*) Spouse
  (*2*) Child or children
  (*3*) Father, mother, or both
  (*4*) Brother(s), sister(s), or both.

643.2 Fraudulent.

If investigation shows the claimant, or agent, intentionally misrepresented a claim for an item's cost, condition, repair, etc., the claim is denied—even though there is some actual damage. However, if the claim for another item(s) is correct, it is paid. Disciplinary action will be taken if warranted.

644 Compensation

644.1 Lost or Destroyed Property.

Compensation usually equals, but never exceeds, the actual value of property at the time of loss. Value is determined by purchase price (or value at time of acquisition), replacement costs, and salvage value. Depreciation is figured according to the type, age and condition of item when lost or destroyed. Incidental expenses or losses are excluded.

644.2 Damaged Property.

Compensation is usually the cost of repairs, not to exceed the actual value of property when damaged. If damaged beyond repair, compensation is the actual value at time of damage, less salvage value. Incidental expenses are excluded. Property may be replaced in kind rather than paid for.

644.3 Third Party Recoveries.

.31 Insurance. If the loss is recoverable from an insurer, or other third party, the employee first requests reimbursement from that source.

.32 Supplement. The USPS pays the difference between that insurer's payment and the actual loss, provided it is judged to be a valid claim. USPS pays no part of a claim if the insurer or other third party pays more than the amount allowable under 644.

.33 Refunds. If the USPS pays an employee who later recovers the lost item or receives payment from an insurer, the employee must pay back the amount received from USPS.

645 Procedures

Public Library, Newark, N. J.

645.1 Time.

Present claims as soon as possible after the loss occurs and not later than 90 days from the date of loss or discovery of loss. Claims received after 90 days are acceptable only if the delay was not the claimant's fault.

645.2 Documentation.

Form 2146, *Employee Claim for Personal Property,* must be filed. However, any written document received within the period allowed is treated as a proper claim if it provides substantiating information. Support all claims with evidence such as (a) date of purchase, and (b) sales receipt or statement from seller showing price and date of purchase.

645.3 Submission.

Employees submit claims based on the installation to which they are assigned:

a. Region/Field. Submit claims to local installation head—who makes a recommendation and forwards claim to the Regional Director, E&LR.

b. Headquarters and Related. Submit claims to local installation head or immediate Headquarters manager—who make a recommendation and forwards claim to the General Manager, Headquarters Personnel Division.

645.4 Disposition.

The disposition of the claim depends on the decision made by the Regional Director, Employee & Labor

Relations or by the General Manager, Headquarters Personnel Division:

a. Allowed Claim. A settlement check is forwarded to the claimant. When a claim is only partially paid, a written explanation accompanies the check.

b. Denied Claim. A written explanation of the reason for the decision is sent to the claimant.

645.5 Appeal.

Claimants may appeal a denial by writing the APMG, Employee Relations Department within 15 days of receipt of letter of denial. Reasons and documentation must be furnished.

650 Non-Bargaining Disciplinary, Grievance and Appeal Procedures

651 Disciplinary and Emergency Procedures

651.1 Scope

This section establishes procedures for (a) disciplinary action against non-probationary employees who are not subject to the provisions of a collective bargaining agreement, and (b) emergency action for conduct which also normally warrants disciplinary action.

651.2 Emergency Placement in Off-Duty Status

An employee may be placed in an off-duty status immediately (without pay), but remains on the rolls, when intoxicated, failing to observe safety rules, failing to obey a direct order, or disrupting day-to-day postal operations in any other way. The employee is returned to duty status when the cause for nonpay status ceases. Placement in an off-duty status is confirmed in writing, stating the reasons, and advising the employee that the action is appealable. Use of these emergency procedures does not preclude disciplinary action based on the same conduct.

651.3 Letters of Warning

When warranted by the failure of non-disciplinary corrective measures such as discussions or counselings, or by the seriousness of the offense, a letter of warning may be issued, usually by the employee's immediate supervisor. The written warning should contain (a) specific reasons for the letter, and (b) a statement of appeal rights (see 652.311 and 652.312).

651.4 Suspensions, 14 Days or Less

.41 Policy. When warranted by the failure of lesser corrective measures or by the seriousness of the offense, suspensions, of 14 days or less are imposed.

.42 Notice. Unless the circumstances of a particular case make it impractical, the written notice of suspension is issued by the employee's immediate supervisor stating: (a) specific and detailed reasons for the suspension, (b) instructions for responding to it, and (c) the right of the employee or representative to review all material used in the action, and (d) when and where the material is available.

.43 Response. The employee or representative may respond to the notice in writing, in person, or both, to the decision-making authority or designee. When the proposal notice is issued by an installation head or an officer, response may be made to that official. The employee or representative may respond and present evidence, including affidavits, within 5 working days from receipt of the notice. The time limits for responding may be extended for reasonable cause.

.44 Decision. The decision-making official, who must be higher in authority than the proposing official, considers the employee's response and gives a written decision, including the reasons, as soon as possible after the expiration of the employee's time limits for response. In field installations, the installation head or designee usually makes the decision; in other offices, the decision is made by a branch manager or above. If the decision is to suspend the employee, the dates of the suspension are given, beginning no sooner than 2 working days from the date the employee receives the letter of decision. The letter informs the employee that the decision is appealable (see 652.2).

.45 Duty Status. The employee, unless otherwise provided herein, remains in a pay status (either on the job or on administrative leave, at the option of the employer) until the beginning of the suspension.

651.5 Adverse Actions

.51 Policy. Adverse actions are defined as discharges, suspensions of more than 14 days, furloughs without pay, and reductions in grade or pay. Action may be taken against an employee (a) because lesser measures have not resulted in the correction of deficiencies in behavior or performance, (b) because of the gravity of the offense, or (c) for nondisciplinary reasons, such as the correction of a position misranking.

.52 Notice. Unless the circumstances of a particular case make it impractical, the written notice of proposed adverse action is issued by the employee's immediate supervisor. The notice includes (a) the action proposed, with specific and detailed reasons, (b) the instructions for responding to the notice, (c) a statement of the right of the employee or representative to review all material relied upon in proposing the action, and when and where the material is available for review, and (d) the name of the official rendering the decision. The proposal also advises the employee that a reasonable amount of official time is allowed for the preparation and presentation of a reply if the employee is otherwise in a duty status, and that the proposed action will be effected no sooner than 30 days after the employee receives the notice.

.53 Response. The employee or representative may respond to the notice in writing, in person, or both, to the decision-making authority or designee. When the proposal notice is issued by an installation head or officer, response may be made to that official or representative. The employee may respond and present evidence, including affidavits, within 10 days from receipt of the notice. The time limits for responding may be extended for reasonable cause.

.54 Decision. The decision-making official, who must be higher in authority than the proposing official, considers the employee's response and gives a written decision, including reasons, as soon as possible after the employee's time to repond has expired. In field installations, the installation head or designee usually makes the decision; in other offices, the decision is made by a branch manager or above. If the decision is to effect the adverse action or to modify it to a lesser penalty, the employee's appeal rights, including Veterans' Preference Act appeal rights if appropriate, are stated.

.55 Duty Status. The employee, unless otherwise provided in 651.56, remains in a pay status either on the job or on administrative leave, at the option of the employer, during the notice period which must be at least 30 days. Discharged or indefinitely suspended employees who appeal remain on the rolls in a nonpay, nonduty status until the disposition of the case through the chosen appeal procedures.

.56 Exceptions to 30-Day Notice

.561 When there is reasonable cause to believe an employee is guilty of a crime for which a sentence of imprisonment may be imposed, the advance notice before effecting the adverse action may be reduced to no less than 7 calendar days. At the expiration of the reduced notice period, The decision is issued at once. If the decision is to suspend the employee indefinitely, the individual remains on the rolls in a nonpay, nonduty status pending a final decision or until the suspension is otherwise terminated. If the decision is to remove the employee, the individual remains on the rolls only if a timely appeal is filed.

.562 A separate action may be taken to suspend an employee during the required 30-day notice period with **7 calendar days** written notice—when the employee's retention in a duty status may result in (a) damage to postal property, (b) loss of mail or funds, (c) injury by the employee to self or others, or (d) being detrimental to USPS interests.

652 Grievance and Appeal Procedures

652.1 Scope

This section establishes grievance and appeal procedures for employees not subject to the provisions of a collective bargaining agreement. These procedures do not (a) deprive an employee of the right to remedy an allegation of discrimination through equal employment opportunity procedures, or (b) deprive a preference eligible of any rights of appeal under the Veterans' Preference Act; however, if veteran preference rights are exercised, the employee waives access to these procedures. This section does not apply to actions for which other appeal procedures are provided (except EEO).

652.2 Appeal of Adverse Actions and Suspensions of 14 Days or Less

.21 Coverage

.211 Category of Employee. Upon receipt of a letter of decision ordering an adverse action or a suspension of 14 days or less, the following employees may appeal:

a. EAS and PCES, Level I, employees who have completed six months of continuous USPS service, and

b. EAS and PCES, Level I, employees who have completed a minimum of 12 months of combined servcice, without a break of a workday, in positions in the same line of work in the Civil Service and USPS—unless any part of this service followed a temporary appointment in the competitive service with a definite time limitation.

.212 Exception. Involuntary outplacement of PCES, Level I, employees is not an adverse action and is not appealable through these procedures.

.213 Exclusion. Officers (PCES, Level II) are not covered by these procedures.

.22 Representation. Employees have free choice of representation. Representatives designated to assist employees are granted official time only as provided in 652.24.

.23 Appeal to Step 1

231. Field Employees Administratively Resposible to the RPMG or a Regional Chief Inspector (except Postal Inspectors, Special Investigators and Auditors). These employees may submit a written request for a hearing, or waive a hearing, within 15 days of receipt of a letter of decision on an adverse action or suspension of 14 days or less.

This appeal is made to the Step I official (RPMG or Regional Chief Inspector or designee). A copy of the appeal is sent to the official taking the action, who fowards the case file to the Step I official.

.232 Headquarters Employees or Field Employees Not Administratively Responsible to the RPMG. These employees may submit a written request for a hearing, or the waiving of a hearing, to the Step I official (APMG or department head) within 15 days of receipt of a letter of decision on an adverse action or suspension of 14 days or less. Postal inspectors, special investigators, and auditors who are under the administrative jurisdiction of Regional Chief Inspectors submit their appeals to the Chief Inspector. A copy is sent to the official taking the action, who forwards the file to the Step I official.

.233 In cases where an SAPMG or other officer reporting directly to the Postmaster General is the deciding official, the PMG or designee is the sole appellate official.

.24 Hearings.

.241 If the appellant does not request a hearing, the Step I official determines whether the issues on appeal can be decided on the record and on written submissions by the appellant and management. If the appeal cannot be judged fairly without a hearing, the Step I official schedules a hearing.

.242 If the appellant requests a hearing, a hearing officer is assigned by the Step I official. The hearing is held as soon as possible, usually at the installation where the appellant is located. The employee receives at least 7 days notice of the hearing. Conduct of the hearing is informal, but consistent with the orderly presentation of the case. Testimony is given under oath or affirmation. While legal rules of evidence do not apply, testimony and evidence is held within reasonable bounds of relevancy. The appellant and the employer have the right to be present at the hearing, to be represented, to present evidence and witnesses, and to cross-examine the other party's witnesses. The appellant and representative, if a postal employee in a duty status, are granted a reasonable amount of official time to prepare for the hearing. The appellant may choose self-representation. Before the hearing both management and the appellant will advise the Step I official or the hearing officer of their choice of representative witnesses and the nature of their testimony. This information will be exchanged between both parties.

.243 Management has an obligation to make available witnesses who are postal employees and approved by the hearing officer as having relevant testimony, unless it is administratively impractical to do so. In these cases, witnesses may be required by the hearing officer to answer written questions.

.244 The appellant, representative, and witnesses, if postal employees in a duty status at the time of the hearing, are compensated for straight time hours spent at the hearing that are part of their regularly scheduled workday. Witnesses are not present at the hearing except when testifying, unless they are also acting as representatives or technical advisors.

.245 The appellant, representative and witnesses are not subject to restraint, interference, coercion, discrimination or reprisal.

.246 A written transcript of the hearing taken by a court reporter or other qualified person is normally made of the hearing proceedings. The office or installation initiating the adverse action or suspension of 14 days or less will arrange for and pay all costs of the transcript. If, because of geographical remoteness or other unusual circumstances, a written transcript cannot be obtained, an exception to the procedures must be authorized in advance by the appropriate Regional Director, Employee and Labor Relations.

.25 Step I Decision

The hearing officer prepares the findings of fact for consideration by the Step I official as soon as possible, but not more than 15 working days after receipt of the written transcript of the hearing. The Step I official reviews the case and issues a prompt decision, usually within 15 days. The letter to the appellant includes the reasons for the decision and further appeal rights. Enclosed with that letter will be a copy of the written transcript of the hearing and the hearing officer's findings.

.26 Step II Appeal and Decision. An employee or representative may appeal in writing, within 15 days after receiving the Step I decision, to the PMG or designee—with a copy to the Step I official. (Appeals are addressed to the Postmaster General, c/o the Assistant Postmaster General, Employee Relations Department, U.S. Postal Service, Washington, DC 20260.) Upon receipt of a copy of the appeal, the Step I official forwards the file to the APMG, Employee Relations. The case is reviewed and a written decision is usually due within 15 days of the receipt of the appeal. This decision is final.

652.3 Other Grievances

.31 Coverage

.311 Employees in EAS-16 and below, regardless of length of service, may appeal letters of warning, emergency placement in a non-duty status, and other matters not covered by 652.3 by using the procedures in sections 652.32 through 652.34.

.312 Employees in EAS-17 and above have access to these procedures only to appeal discipline in the nature of a letter of warning and emergency placement in a non-duty status, or to a money demand under the Employer Claims procedure in Regional Instruction 757-Fin-153 (Filing No. 423-1, 12/10/73). All grievances regarding money demands for the satisfaction of employer claims are brought directly to the appropriate review level indicated in 652.34, by-passing the procedure stated in 652.32 and .33.

.32 Step A. An employee states grievance in writing to the immediate supervisor within 10 days of learning its cause. The employee has the opportunity to discuss the grievance with the supervisor during this period. The supervisor gives a written decision within 5 working days **after receipt of grievance.** If this is impossible because of extenuating circumstances, the decision when written must explain the reason(s) for the delay.

.33 Step B. A field employee may appeal in writing within 7 days after receipt of the Step A decision to the installation head. (If the installation head is the immediate supervisor, appeals are made to the next higher level of management.) A Headquarters, Regional, or Inspection Service employee may appeal within the same time limits to the next higher level of management (superior to the supervisor), at least a manager or above. The appeal must include the employee's name, title, grade, location, nature of grievance, and basis for appeal. Upon receipt of the appeal, the Step B official discusses the grievance with the employee, and renders a decision in writing within 10 days after receipt of the appeal. Usually this decision is final.

.34 Review. The employee may request a review of the Step B decision. The request of an employee administratively responsible to the RPMG is directed to the Regional Director, E&LR. The request of a Headquarters employee, or field employee not administratively responsible to the RPMG, is sent to the APMG. Employee Relations with a copy to the Step B official who forwards the file to the review official. The request is in writing and gives specific reasons why the employee believes the Step B decision should be reviewed. The request is made within 15 days from receipt of the Step B decision. The review official replies in writing and states the disposition of the employee's request. This reply is final.

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660 Conduct

661 Code of Ethical Conduct

661.1 Purpose and Applicability

.11 This *Code of Ethical Conduct* is designed to instruct and guide employees entering the Postal Service, and to remind all employees of the conduct expected and required of them in performing their official duties and in their general conduct.

.12 Each employee, including each special Postal Service employee, should read and become familiar with this Code. A violation of this Code may be cause for remedial or disciplinary action, including discharge. An employee who needs guidance concerning this Code, including any statute or regulation mentioned herein, should request guidance from the appropriate postal official as designated in 661.812 of this part.

.13 Although this Code is not applicable to members of a uniformed service or to employees of another government agency who are serving with the Postal Service, these persons are not relieved from their responsibilities under the regulations of the service or agency from which they are assigned or detailed to the Postal Service.

.14 The provisions of this Code will be broadly construed and strictly enforced in order to prevent postal employees from securing any pecuniary advantage, however indirect, from their public employment, other than their compensation as provided by the Postal Service.

661.2 Congressional Code of Ethics for Government Service

.21 The standards of conduct for all employees of the United States have been stated by Congress in the *Code of Ethics for Government Service.* All postal employees are expected to follow the standards quoted below.

Code of Ethics for Government Service. Any person in Government service should:

1. Put loyalty to the highest moral principles and to country above loyalty to persons, party, or government department.
2. Uphold the Constitution, laws, and legal regulations of the United States and of all governments therein and never be a party to their evasion.
3. Give a full day's labor for a full day's pay; giving to the performance of duties earnest effort and best thought.
4. Seek to find and employ more efficient and economical ways of getting tasks accomplished.
5. Never discriminate unfairly by the dispensing of special favors or privileges to anyone, whether for remuneration or not, and never accept, for self or family, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of governmental duties.
6. Make no private promises of any kind binding upon the duties of office, since a government employee has no private word which can be binding on public duty.
7. Engage in no business with the government, either directly or indirectly, which is inconsistent with the conscientious performance of governmental duties.
8. Never use any information coming to employee confidentially in the performance of governmental duties as a means for making private profit.
9. Expose corruption wherever discovered.
10. Uphold these principles, ever conscience that public office is a public trust.

661.3 Standards of Conduct

Employees must avoid any action, whether or not specifically prohibited by this Code, which might result in or create the appearance of:

a. Using Postal Service office for private gain.
b. Giving preferential treatment to any person.
c. Impeding Postal Service efficiency or economy.
d. Losing complete independence or impartiality.
e. Making a Postal Service decision outside official channels.
f. Affecting adversely the confidence of the public in the integrity of the Postal Service.

661.4 Conflicts of Interest

.41 Conflicts of Interest—Financial

.411 An employee may own property and engage in financial transactions, except to the extent limited by statute, executive order, or regulations, including this Code. Because of USPS employment, however, no employee may have a financial interest, direct or indirect, that conflicts substantially, or appears to conflict substantially, with employee's duties and responsibilities to the Postal Service.

.412 Whether a financial conflict of interest exists often depends on the particular facts of each instance. Detailed rules cannot practically be prescribed that will cover every situation. The following rules, however, provide guidance for specific situations and illustrate the manner in which the general principles should be applied.

a. No employee will enter into any contract with the Postal Service or otherwise have an interest (including the ownership of stock or debt securities in a corporation which has an interest) in any contract with the Postal Service, except as may be authorized by law or regulation. For example, section 1-302.3 of the *Postal Contracting Manual* permits contracts between the Postal Service and its employees only under the most compelling circumstances. Section 661.412a, however, does not prohibit the ownership of an interest: (1) if the interest is so minor that no realistic possibility of a conflict of interest exists, or (2) if the employee advises the Associate Ethical Conduct Officer of the interest, makes full disclosure of all relevant facts, and receives a written decision by the Associate Ethical Conduct Officer that the possibility of a conflict is too remote or too inconsequential to be likely to affect the integrity of the employee's services.

b. No employee will solicit or accept any part of any fee or other compensation paid by any person in connection with any business dealings with, or proceedings before, the Postal Service or other agency of the government.

c. No employee will act as agent or broker in procuring any bond required by the Postal Service.

d. No employee with authority to contract for the transportation of mail, to review or give legal advice concerning these contracts, or to recommend or make decisions concerning the transportation of mail will have any financial interest in any entity which carries, or may reasonably be expected to carry, mail.

e. No employee with authority to recommend, make decisions, or give legal advice concerning the acquisition, leasing, or disposal of real property will have any interest in any entity which deals with real estate in which the Postal Service has, or may reasonably be expected to have, an interest.

f. No employee will lease real property to the Postal Service except for an area less than 3,000 square feet of net interior space. An existing lease of a greater amount of space may be renewed or extended if: (1) the contracting officer determines that it would be in the best interests of the Postal Service; and (2) the Associate Ethical Conduct Office for the organizational unit to which the employee is assigned is furnished a full statement of all known possible conflicts of interest; and (3) after review thereof, concurs in the proposed extension or renewal.

g. No employee will participate in an official capacity in any decision or other matter in which, knowingly the employee or any entity by which the employee is or may become employed has a financial interest unless: (1) the employee advises the Associate Ethical Conduct Officer of the possible conflict, makes full disclosure of all relevant facts, and receives in advance a written determination by the Associate Ethical Conduct Officer that the interest is too remote or too inconsequential to be likely to affect the integrity of service; or (2) a general regulation published in the *Federal Register* has exempted the interest from the prohibition of this rule as being too remote or too inconsequential to affect the integrity of the government employee's services.

.413 No employee will solicit or accept, directly or indirectly, any compensation from any source other than the Postal Service for any act or omission as an employee. No employee will accept any salary, any contribution to salary, or supplementation of salary as compensation for services as an employee from any source other than the Postal Service. This section does not prohibit:

a. Acceptance of a lawful contribution to salary out of the treasury of a state, county, or municipality.

b. Acceptance of contributions, awards, or other expenses under the terms of *Chapter 41 of Title 5, United States Code,* relating to training of employees of the United States Government.

c. Continued participation in a bona fide pension, retirement, group life, health or accident insurance, profit sharing, stock bonus, or other employee welfare or benefit plan maintained by a former employer.

.414 No employee, whether acting for personal benefit or not, will use, or appear to use either official position or information obtained as a result of employment to further any private interest, for self or any other person.

.415 Unless required by official duties to do so, no employee will recommend or suggest the employment of any private person offering services as a consultant, agent, attorney, expeditor or the like for the purpose of assisting in any negotiations, transactions, or other business with the Postal Service.

.42 Conflicts of Interest—Employment

An employee may engage in outside employment and other outside activity with or without compensation, except as limited by statute, executive order, or regulations, including this Code. An employee may not engage in outside employment or other outside activity, which will interfere with the duties and responsibilities of Postal Service employment. Detailed rules cannot practically be prescribed that will cover every situation of incompatible employment or activity. The following rules, however, provide guidance for specific situations and illustrate the manner in which the general principles should be applied:

a. No employee will accept employment, compensation, payment of expense, or any other thing of monetary value under circumstances in which acceptance may result in, or create the appearance of, a conflict of interest. To this end, each employee should avoid the following:

(*1*) Manufacturing or representing a manufacturer of any product produced for exclusive use by the Postal Service or required by the Postal Service for use by its customers.

(*2*) Working for any person with whom the employee has official dealings on behalf of the Postal Service.

(*3*) Engaging in or working in any capacity for a person engaged in the business of delivering mailable matter to or from postal installations, if this employment requires the employee to conduct business with postal employees performing postal duties of the same nature as the employee's own postal duties at a postal installation or within the delivery area of a post office in which the employee works.

(*4*) Acting as consultant to any person who has a contract with the Postal Service or whom the employee has reason to believe intends to obtain, or seek to obtain, such a contract.

(*5*) Engaging in any sales activity, including the solicitation of business or the receipt of orders, for self or any other person while on duty, in uniform, or in the office where stationed.

(*6*) Engaging in outside employment or professional practice, whether or not for pay, with or for a person whose business interests are: (a) substantially dependent upon, or may be significantly affected by, postal rates, fees, or classifications; or (b) substantially dependent on providing goods or services to or for use in connection with the Postal Service.

b. This section does not prohibit outside employment in which no realistic possibility of a conflict of interest or the appearance of a conflict of interest exists.

c. No employee will engage in outside employment which impairs ability to perform Postal Service duties and responsibilities acceptably.

d. No employee will engage in any activity for compensation, accept any outside employment, or receive any salary or other thing of monetary value which is, directly or indirectly, a form of compensation from a private source for employee services to the Postal Service.

e. No employee will engage in any outside business or activity which reflects discredit upon the Postal Service.

f. No employee will use official title, position, uniform equipment, vehicle, or authority in the endorsement or advertisement of a commercial product or service.

g. No employee will engage in or work in any capacity for a person engaged in a private business of delivering any type of mailable matter, including parcels and advertising circulars.

h. No employee will engage in any business or activity in which postal employment could give employee an advantage over others not in the Postal Service who are engaged in a similar business or activity.

i. Section 205 of Title 18, United States Code, generally prohibits any officer or employee of the Postal Service from acting as agent or attorney for the prosecution of a claim against the United States or the representation of any person other than self or a member of the employee's immediate family in any proceeding before any court or agency of the United States, other than in the performance of official duties. For example, an employee may engage in tax work involving federal income or other federal taxes if this work consists of no more than preparation of tax returns or furnishing the Internal Revenue Service with information obtained solely from the records of the taxpayer. The employee may not, in general, represent the position of a taxpayer before the Internal Revenue Service or in the courts.

j. Within the limitations imposed by this section, employees are encouraged to engage in teaching, lecturing, and writing. An employee, however, will not engage, either on a paid or unpaid basis, in teaching, lecturing, or writing for the purpose of the special preparation of a person or class of persons for an examination of the Office of Personnel Management, the Board of Examiners for the Foreign Service, or for appointment in the U.S. Postal Service when these activities are dependent on information obtained as a result of employment with the Postal Service, unless that information has been made available to the general public or will be made available on request, or when the Postmaster General gives written authorization that the use of nonpublic information is in the public interest. In addition, an employee will not receive compensation or anything of monetary value for any consultation, lecture, discussion, writing, or appearance whose subject matter is devoted substantially to the responsibilities, programs, or operations of the Postal Service, or which draws substantially on official data or ideas which have not become part of the body of public information.

k. No employee will take sick leave to engage in outside work.

.43 Conflicts of Interest—Gifts, Entertainment and Favors

.431 An employee will not solicit or accept any gift, gratuity, favor, entertainment, meal, loan, or other thing of value from any person who:

a. Has, or is seeking to obtain, contractual or other business or financial relations with the Postal Service.

b. Conducts operations or activities that are regulated by the Postal Service.

c. Has interests that may be substantially affected by the perfromance or non-performance of the employee's official duties.

.432 These provisions are intended to prevent a conflict of interest or the appearance of such a conflict on the part of a Postal Service employee. The conduct described in the following paragraphs is permitted because it is considered that it will not create a conflict of interest and that its prohibition would unduly and unnecessarily restrict Postal Service emloyees in legitimate activities and relationships. Upon this basis, an employee may:

a. Accept a gift, favor, entertainment, travel or accommodation expense, loan, or other thing of value from a parent, spouse, child, brother, sister, or other member of the immediate family when the circumstances make it clear that the family relationships are the motivating factors.

b. Accept unsolicited advertising or promotional items such as a pen, pencil, note pad, or calendar of nominal value, which does not exceed a retail price of $2 per item.

c. Accept loans from banks or other financial institutions on terms generally available to the public in order to finance proper and usual activities of an employee, such as a home mortgage loan.

d. Accept and use courtesy discount cards from department stores or other organizations if these discount cards are generally offered to the public.

e. Participate as an authorized representative of the Postal Service in a public event such as a convention, conference, or inaugural flight and accept without payment transporation or meals which are an integral part of the event.

f. Accept food and refreshment of nominal value on infrequent occasions in connection with inspection tours that the employee is authorized to make.

.433 When an employee travels on official business, commercial transportation should be used at government expense. With respect to inter-city travel, if there is no commercial transportation which will enable the employee to arive at the destination in time for the performance of duties, private transportation may be accepted provided the private party is reimbursed therefor at the standard commercial rate.

.434 No employee will solicit contributions from another employee for a gift to an employee in a superior official position, make a donation as a gift to an official superior, or accept a gift from another employee receiving less pay. An employee who violates this prohibition is to be removed from the Postal Service as provided by Section 7351 of Title 5, United States Code. However, this paragraph does not prohibit voluntary gifts of nominal value or donations of nominal amount toward the purchase of a gift on a special occasion, such as marriage, illness, or retirement.

.435 An employee who believes that the limitations on the acceptance of gifts, entertainment, and favors imposed by this section will interfere with the proper performance of duties or will cause hardship or unnecessary embarrasement to self or another person will, if possible, make full disclosure of all revelant facts to the Associate Ethical Conduct Officer before the event. The employee will then act in accordance with the written decision of that Officer. If it is not possible to obtain an advance decision of the Associate Ethical Conduct Officer, the employee exercises good judgment as to the course of action which best serves the public interest and will as soon as possible thereafter make full disclosure of circumstances and actions to the Associate Ethical Conduct Officer.

.436 No employee will accept a gift, present, decoration, or any other thing from a foreign government unless authorized in accordance with Section 7342 of Title 5, United States Code. An employee, however, may accept a nominal gift from a visiting foreign dignitary if the gift is from the visiting dignitary in a personal capacity, as distinguished from a gift from and on behalf of the foreign country.

.437 A gift, the receipt of which is prohibited by this Code, will be returned to the donor with a written explanation of the reason for return. If the return of the gift is not feasible, the gift will be given to the Associate Ethic Conduct Officer with a written explanation of why the return is not feasible. The Associate Ethical Conduct Officer will turn the gift over to a public or private charity or charitable institution and make a record of its disposition.

661.5 Other Prohibited Conduct

.51 Discrimination

No employee while acting in an official capacity will directly or indirectly authorize, permit, or participate in any action, event, or course of conduct which subjects any person to discrimination, or results in any person being discriminated against, on the basis of race, color, religion, sex, national origin, or age.

.52 Unofficial Use of Government Property or Services

No employee will use, directly or indirectly, or allow the use of Postal Service or government property or services, including property leased to the Postal Service of government agency, for other than officially approved activities. Employees have a positive duty to protect and conserve Postal Service property, including equipment, supplies, and other property entrusted or issued to them.

.53 Unacceptable Conduct

No employee will engage in criminal, dishonest, notoriously disgraceful or immoral conduct, or other conduct prejudicial to the Postal Service. Conviction of a violation of any criminal statute may be grounds for disciplinary action by the Postal Service, in additioin to any other penalty by or pursuant to statute.

.54 Use of Intoxicating Beverages

No employee will habitually use intoxicating beverages in excess. No employee will drink beer, wine, or other intoxicating beverages while on duty. No employee will begin work or return to duty while intoxicated. No employee will drink intoxicating beverages in a public place while in uniform. Unless the Postmanster General specifically authorizes an exception (as in the case, for example, of an official reception) no employee will have or bring any container of beer, wine, or other intoxicating beverage on premises occupied by a postal facility, whether or not the container has been opened.

.55 Illegal Drug Use

Illegal use of drugs may be grounds for removal from the Postal Service.

.56 Gambling

No employee while on property owned or leased by the Postal Service or the United States or while on duty will participate in any gambling activity. This includes the operation of a gambling device, conducting or acting as an agent for a lottery or pool, conducting a game for money or property, or selling or purchasing a numbers slip or ticket. NOTE: This section does not prohibit participation in activities specified herein if participation is necessitated by an employee's law emforcement duties, or if participation is in accordance with Section 3 of Executive Order No. 10927, of March 18, 1961 relating to agency-approved solicitations.

661.6 Indebtedness

.61 Financial Obligations

An employee will pay each just financial obligation in a proper and timely manner, especially one imposed by law, such as federal, state, or local taxes. For the purpose of this section, a "just financial obligation" means one acknowledged by the employee or reduced to judgment by a court; "in a proper and timely manner" means in a manner the Postal Service determines does not, under the circumstances, reflect adversely on the Postal Service as the employer.

.62 Disputes With Creditors

If a dispute arises between an employee and an alleged creditor, the Postal Service is not required to determine the validity or amount of the disputed debt.

661.7 Provisions Concerning Special Postal Service Employees

.71 Private Gain

A special employee will not use employment with the Postal Service for a purpose that is, or appears to be, motivated by the desire for private gain for self or another person, particularly one with whom the employee has family, business, or financial ties.

.72 Financial Benefit

A special employee will not use employment with the Postal Service to coerce, or appear to coerce, a person to provide financial benefit to self or another person, particularly one with whom the employee has family, business, or financial ties.

.73 Use of Information

A special employee will not use inside information obtained as a result of Postal Service employment for private gain for self or another person either by direct action or by counsel, recommendation, or suggestion to another person, particularly one with whom the employee has family, business, or financial ties. For the purpose of this section, "inside information" means information obtained under Postal Service or other Government authority which has not become part of the body of public information.

.74 Teaching, Lecturing, Writing Activities

A special employee may teach, lecture, or write in a manner consistent with 661.42d as it applies to employees.

.75 Acceptance of Gifts

A special employee, while so employed or in connection with that employment, will not receive or solicit from a person having business with the Postal Service anything of value such as a gift, gratuity, loan, entertainment, or favor for self or another person, particularly one with whom the employee has family, business, or financial ties. The employee is not prohibited, however, from accepting or receiving gifts, loans, reimbursement of expenses or other things of value under circumstances permissible for an employee in accordance with 661.43.

661.8 Ethical Conduct Advisory Service and Remedial Action

.81 Advisory Service

.811 The Ethical Conduct Officer is responsible for the administration of this Code. In exercising that responsibility, the Ethical Conduct Officer will coordinate the advisory service provided by this subpart, assure that authoritative interpretations of this Code are available to the Associate Ethical Conduct Officers, and render final rulings on behalf of the Postal Service in appeals by employees from interpretations of this Code made by Associate Ethical Conduct Officers. The Ethical Conduct Officer will provide advice and guidance for the Postmaster General and all Associate Ethical Conduct Officers concerning questions arising under this Code, and may delegate to an Assistant Ethical Conduct Officer authority to perform any duty or function vested in the Ethical Conduct Officer by this Code. The General Counsel is the Ethical Conduct Officer of the Postal Service and is the Postal Service's designee to the Office of Personnel Management on matters relating to this Code.

.812 The Deputy Postmaster General (or, in the event of a vacancy in the office of the Deputy Postmaster General, the Executive Assistant to the Postmaster General for Postal Affairs) is the Associate Ethical Conduct Officer for all employees in the Office of the Postmaster General and the Office of the Deputy Postmaster General. The Senior Assistant Postmasters General, Regional Postmasters General, heads of those departments which report directly to the Postmaster General or Deputy Postmaster General, Regional Chief Inspectors, Directors of Postal Data Centers, Directors of Automatic Data Processing Centers, and the Director of the Postal Service Training & Development Institute are Associate Ethical Conduct Officers for their respective organizational elements. An Associate Ethical Conduct Officer may, with prior approval of the Ethical Conduct Officer, designate suitable employees to assist or act for the Associate Ethical Conduct Officer.

.813 An employee or special employee may obtain advice and guidance on questions of conflicts of interest covered by this Code from the Associate Ethical Conduct Officer having appropraite jurisdiction. To avoid undue interference with established grievance and disciplinary procedures, advisory service under this subpart will not normally be available in those cases where a grievance is pending or disciplinary action has been initiated.

.814 An employee may appeal to the Ethical Conduct Officer on a ruling made by an Associate Ethical Conduct Officer concerning questions of conflicts of interest covered by this Code within 30 days from the date of the ruling. The appeal will be in writing and contain a full statement of the relevant facts. It should be addressed to the Ethical Conduct Officer, United States Postal Service, Washington, D.C. 20260, and a copy sent to the official whose ruling is being appealed.

.815 All employees and special employees will be informed of this Code and their rights and responsibilities under it. In particular, they will be informed of the availability of advisory services and of how and where these services are available. This information will be provided within 90 days after approval and publication of this Code in the Federal Register and periodically thereafter. This information will be provided a new employee by the appointing officer at the time of the employee's entrance on duty.

.816 The Ethical Conduct Officer and Associate Ethical Conduct Officers will, upon request, make Postal Service Publications 73 and 74, *Code of Ethical Conduct for Postal Employees and Laws Relating to Ethical Conduct and Conflict of Interest* available to employees for review. This review will not interfere with the orderly conduct of postal activities.

.82 Remedial Action

.821 Whenever a possible conflict of interest or appearance of a conflict of interest on the part of an employee or special employee comes to the attention of the Ethical Conduct Officer, of an Associate Ethical Conduct Officer, or of a person designated to assist or act for an Associate Ethical Conduct Officer, that officer ascertains whether a conflict or appearance of conflict of interest exists. The employee or special employee concerned will be provided an opportunity to explain the conflict or appearance of conflict. After considering the explanation, the officer determines whether action is required. If so, and the employee or special employee is not under the officer's general supervision, the officer will recommend to the employee's installation head that action be taken to end the conflict or appearance of conflict of interest.

.822 Remedial action may include, but is not limited to, disqualification for a particular assignment; changes in assigned duties; divestment by the employee or special employee of the conflicting interest; or disciplinary action.

.823 Remedial or disciplinary action will be taken in accordance with any applicable laws, executive orders, regulations, and collective bargaining agreements.

662 Statements of Employment and Financial Interests

662.1 Employees Required to File Statements

.11 Categories of Employees

Each employee (other than a special employee) who is in one or more of the following categories submits a *Confidential Statement of Employment and Financial Interests* (Form 2417):

a. Each employee who is paid basic compensation at an annual rate of $30,000 or more.

b. Each employee who is in pay grade EAS-24 or a higher pay grade of the postal executive salary structure and whose basic duties and responsibilities require the employee to make or recommend a decision, or take or recommend official action, in regard to:

(*1*) Contracting or procurement. For the purpose of this section contracting or procurement includes all functions that pertain to the authorization, award, or administration of contracts with non-Postal Service entities.

(*2*) Auditing enterprises other than the Postal Service, including the supervision of auditors engaged in audit activities or the participation in the development of policies and procedures for performing such audits.

(*3*) Activities in which the decision may have an economic impact on the interests of any enterprise other than the Postal Service, including the design and maintenance of the Postal Service rate structure, the selection of carriers for the transportation of mail, the selection of sites for postal facilities, and the recommending or approval of claims of any person against the Postal Service or any such claims by the Postal Service against any person.

.12 Employee in Position Temporarily

An employee temporarily performing the duties of a position which meets the criteria in 662.11 is also subject to the filing requirement in this section if the employee performs those duties for more than 90 calendar days.

.13 Determination of Categories

Determination as to whether an employee is in one or more of the categories set forth in 662.11 and 662.12, and is therefore required to submit a *Confidential Statement of Employment and Financial Interests*, is made by the employee's Associate Ethical Conduct Officer.

.14 Special Employee

Each special employee, regardless of the rate of compensation received, if any, will submit a Form 2418, *Confidential Statement of Employment and Financial Interests (For Use By Special Government Employees).*

.15 Waivers

The Ethical Conduct Officer may waive the requirement for the submission of a statement by a special employee, other than a consultant or an expert, when either by general regulation or in a specific instance, the duties of the position held by the special employee are of a nature and are at such a level of responsibility that the submission of the statement is not necessary to protect the integrity of the Postal Service.

.16 Employees below EAS 24 Who Must File

With the prior approval of the Office of Personnel Management an employee in pay grade EAS 23 or lower who is in a position which otherwise meets the criteria of 662.11 will submit a statement when it is essential to protect the integrity of the Postal Service and to avoid employee involvement in possible conflict of interest situations. Associate Ethical Conduct Officers may recommend to the Ethical Conduct Officer, with full justification in writing, that the approval of the Office of Personnel Management be sought with respect to specific positions.

.17 Employees Improperly Included

Employees who believe that their positions have been improperly included as ones required to submit statements in accordance with this subpart may obtain complaint reviews to that effect through the grievance procedure provided by the collective bargaining agreement or Postal Service regulations, as applicable.

662.2 Persons to Whom Statements Will Be Submitted

.21 To the Ethical Conduct Officer

The Postmaster General, all Associate Ethical Conduct Officers, and the Assistant Ethical Conduct Officer submit their statements to the Ethical Conduct Officer.

.22 To the District Manager

Employees within the jurisdiction of a district manager who are required to submit statements submit their statements to the district manager. District managers will review the statements, and then forward them directly to their Associate Ethical Conduct Officer with any recommendations for action in accordance with 662.7.

.23 To Associate Ethical Conduct Officer

All other employees submit their statements directly to their Associate Ethical Conduct Officers.

662.3 Submission of Statements

.31 Time for Submission

An employee required to file a statement submits that statement within 30 days after first becoming subject to the reporting requirements. An employee who has filed a statement according to the regulations in effect immediately preceding the effective date of this subpart need not submit an additional statement pursuant to this paragraph, but will instead submit a supplementary statement or a report indicating no change pursuant to 662.32.

.32 Changes

Changes in or additions to the information contained in an employee's statement will be reported in a supplementary statement, following the format prescribed by the Ethical Conduct Officer, as of June 30 each year. If no changes or additions occur, a report to that effect is required.

.33 Disclosure of Amounts

Statement and supplementary statements do not require that amounts be shown. An authorized reviewer, however, may require disclosure if it is essential to making a determination as to whether a conflict of interest, or appearance of a conflict, exists.

.34 Avoidance of Conflicts of Interest

In addition to filing the statement required by this subpart each employee will, at all times, avoid acquiring a financial interest, or taking any action that could result in a violation of the conflicts of interest provisions of 18 U.S.C. 208 or of this part.

662.4 Confidentiality and Retention of Statements

.41 Restrictions Regarding Disclosure of Statements

Statements and supplementary statements will be held in confidence and not disclosed to anyone other than the Postmaster General, the Ethical Conduct Officer, the employee's Associate Ethical Conduct Officer, or their designees, without express written approval of the Ethical Conduct Officer. The statements and supplementary statements will be retained under appropriate security by the Associate Ethical Conduct Officer except as may be otherwise directed by the Ethical Conduct Officer.

.42 Procedures for Transmittal Statements

When statements are transmitted, they will be enclosed in opaque inner and outer envelopes. The inner envelope will be sealed and plainly marked RESTRICTED INFORMATION—TO BE OPENED ONLY BY AUTHORIZED REVIEWER and addressed to the authorized reviewer. The outer envelope will also be sealed and addressed, but will bear no legend indicating the contents. Employees, when transmitting their statements and supplementary statements, should, and are authorized to, use this double envelope procedure.

.43 Time of Retention

The statement and any supplementary statements submitted by an employee or special employee will be destroyed two years after the employee leaves the Postal Service, or two years after the employee ceases to occupy a position for which the submission of a statement is required, whichever is earlier.

662.5 Information not Known by Employees

.51 Requests for Information From Others

If any information required to be included in a statement or supplementary statement, including holdings placed in trust, is not known to the employee but is known to another person, the employee will request that other person to submit the information in the employee's behalf, except when the trust is a blind, no-control trust, in which case a copy of the trust will be submitted for review.

.52 Failure To Obtain Information

Failure by the other person or trustee to furnish the needed information will not constitute a violation by the employee of this provision if the employee certifies that a bona fide effort was made to have the information submitted and it was refused.

662.6 Information not Required

.61 Organizations Excluded From Information Requirements

This subpart does not require an employee to submit any information relating to personal connection with, or interest in, a professional society or a charitable, religious, social, fraternal, recreational, public service, civic, or political organization, or a similar organization not conducted as a business enterprise. Savings accounts in credit unions, loan associations or banks, savings certificates, and interests in mutual funds are not interests in business enterprises.

.62 Organizations Included in Information Requirements

For the purpose of this section, educational and other institutions doing research and development or related work involving grants of money from or contracts with the Postal Service are business enterprises and are required to be included in an employee's statement.

.63 Employees Excluded

An employee whose pay is at a rate less than that for Level V in the executive schedule, who is otherwise required to file a statement under 662.11 or 662.12, may be relieved of the reporting requirement when the Ethical Conduct Officer determines that:

a. The duties are such that the likelihood of involvement in a conflict of interest situation is remote.

b. The duties of the position are at such a level of responsibility that the submission of a statement is not necessary because of the degree of supervision and review over the incumbent or the inconsequential effect of the position on the integrity of the government.

662.7 Reviewing Statements and Remedial Action

Associate Ethical Conduct Officers will review all statements received by them whether submitted to them directly or forwarded by district managers. Whenever the employee's statement reveals a possible conflict of interest or appearance of a conflict of interest, appropriate action will be taken pursuant to 661.82

663 Participation in Political and Community Activities

663.1 Political Activities

.11 General

.111 Employees Included. Postal Service employees, except those mentioned in 663.112, are subject at all times to restrictions on their participation in political activity (5 U.S.C. Subchapter III of Chapter 73, and 18 U.S.C. 602, 603, and 607), and to the related regulations.

.112 Employees Excluded. Those Postal Service employees who are employed on an irregular or occasional basis (e.g., experts and consultants, substitute rural carriers, or those on a *per diem* basis) and those employees who are employed without compensation or on a when-actually-employed basis are subject to the restrictions mentioned in 663.111 only while in an active duty status and only for the entire 24 hours of any day of actual employment. Notwithstanding this paragraph, full-time employees in a leave status and part-time employees are fully subject to the restrictions of 663.111.

.12 Additional Prohibited Political Activities

In addition to the restrictions on political activities mentioned in 663.11, an employee may not:

a. Display a political picture or sticker on property owned or leased by the Postal Service. The employee is not forbidden by this paragraph, however, from displaying a picture, including a personally autographed picture of a political figure, in an office or place of work if it has no language in the nature of politicial campaigning.

b. Wear a politicial badge or button while in uniform or while on duty when that duty requires the employee to deal with the public or be in the view of the public;

c. Display a political picture or sticker on a private vehicle while that vehicle is being used for official postal purposes.

.13 Investigation and Enforcement

By agreement with the Postal Service, the Office of Special Counsel, Merit System Protection Board, investigates and adjudicates allegations of political activity in violation of the regulations by Postal Service employees. For jurisdiction and procedures in such cases, see 5 CFR Parts 1250–1254.

663.2 Community Affairs

.21 General

An employee is permitted to participate in community affairs to the extent consistent with the proper performance of postal duties and with applicable laws and regulations. Nothing in this section will prevent an employee from serving as an official of a religious, fraternal, or civil nonpolitical organization which is supported by dues or contributions from its own members.

.22 Holding of State or Local Office by Postal Service Employees

.221 An employee may seek, accept, or hold a nonpartisan state or local office subject to the provisions of this Code, and in particular this section. A nonpartisan office is one filled as a result of a nonpartisan election. A nonpartisan election is an election at which none of the candidates to be nominated or elected represent a political party whose candidates for presidential elector received votes in the last preceding election held to select presidential electors.

.222 An employee who wishes to seek, accept, or hold a nonpartisan state or local office is responsible for ascertaining:

a. Whether the office is nonpartisan within the definition in 663.221.

b. Whether state or local law permits a Postal Service employee to seek, accept, or hold the particular office.

c. Whether the duties of the office would result in a conflict with Postal Service employment.

d. Whether the discharge of the duties of the office would interfere with the acceptable performance of Postal Service duties or would interfere with the acceptable performance by other Postal Service employees of their respective duties.

.223 An employee is encouraged to seek advice from the Associate Ethical Conduct Counselor before taking any action to seek, accept, or hold a state or local office. If the employee assumes the duties of this non-postal office and they interfere with the proper discharge of postal duties, either by that individual or by other postal employees, then the employee holding the non-postal office will be advised by a superior to eliminate the interference. This can be accomplished either by resignation from the non-postal office or some other appropriate manner. If the employees fails, refuses, or neglects to comply with the foregoing advice and the interference continues, that individual will be subject to disciplinary proceedings.

.224 Employees, other than postmasters or acting postmasters in a salary level of EAS-25 or higher, may be granted permission to campaign for a full-time state or local nonpartisan office while on annual leave or on authorized leave without pay during the campaign when:

a. The criteria in 663.222 a and b are met.

b. The Regional Postmaster General determines that the employee's postal responsibilities are being conducted in a satisfactory manner and that the absence of the employee during the campaign period will not disrupt the operation of the facility where the person is employed. NOTE: Requests will be submitted through the postmaster or other installation head to the Regional Postmaster General. An employee who is elected and takes such a full-time office may either be separated from the Postal Service or granted leave without pay.

.225 A postmaster, Sectional Center Manager, or acting postmaster in salary level EAS-25 or higher will not be authorized to take annual leave or leave without pay for the purpose of campaigning for a full-time state or local nonpartisan office.

663.3 Participation in Segregated Meetings

.31 Postal officials may not participate in conferences or speak before audiences where any racial or ethnic group, or members of either sex have been purposely segregated or excluded from the meeting, from any of the facilities or the conferences, or from membership in the group. When requests to speakers or participants are received under circumstances where discrimination may be practiced, inquire as to the practices of the group before acceptance is given.

.32 The USPS may not sponsor, support or financially assist, directly or indirectly, any conference, convention or meeting held where participants are segregated or are treated unequally on the basis of prohibited discrimination.

.33 If the U.S. Postal Service civil rights program will be better served by permitting an exception to this policy in a particular case, the APMG, Employee Relations Department, must be advised prior to making any commitments, for confirmation of a waiver of the policy in 663.31.

664 Bribery, Undue Influence or Coercion

664.1 Requirement to Report

An employee shall report immediately to the General Counsel, U.S. Postal Service, Washington, DC 20260:

a. Any instance in which a person either within or outside the Postal Service uses or attempts to use a bribe, undue influence, or coercion to induce or attempt to induce the employee to act or neglect to act in regard to official responsibilities.

b. Any information that causes the employee to believe that there has been a violation of a Federal criminal statute or any law or regulation directly or indirectly related to the responsibilities of the Postal Service. A copy of a report made under this paragraph shall also be sent by the employee to the Chief Postal Inspector, Washington, DC 20260. The report shall be sent in a sealed envelope clearly marked RESTRICTED INFORMATION—TO BE OPENED BY ADDRESSEE ONLY.

665 Statutory Provisions

665.1 Laws Referenced in This Code

.11 The laws mentioned in this Code are listed for information only. Nothing in this Code constitutes an interpretation or construction of these laws which would bind the United States Postal Service or the United States.

.12 Failure to mention a statute does not excuse any person from complying with it.

665.2 Application to Postal Employees

The following statutes and regulations are applicable to all employees in the Postal Service:

a. House Concurrent Resolution 175, 85th Congress, 2nd Session, 72 Stat. B12, the Code of Ethics for Government Service. (Quoted above at 661.21.)

b. Prohibition against proscribed political activities (5 U.S.C. Subchapter 111 of Chapter 73 and 18 U.S.C. 602, 603, 607 and 608).

c. Prohibition against appointing or promoting a relative, or advocating such an appointment or promotion (5 U.S.C. 3110).

d. Prohibitions against disloyalty and striking (5 U.S.C. 7311; 18 U.S.C. 1918).

e. Chapter 11 of the Title 18, United States Code, relating to bribery, graft, and conflicts of interest.

f. Prohibition against acting as the agent for a foreign principal registered under the Foreign Agents Registration Act (18 U.S.C. 219).

g. Prohibition against unauthorized taking or use of documents relating to claims against or by the Government (18 U.S.C. 285).

h. Prohibition against postal employees becoming interested in any contract for carrying the mail (18 U.S.C. 440).

i. Prohibition against counterfeiting and forging transportation requests (18 U.S.C. 508).

j. Prohibition against deprivation of employment or other benefit for political activity (18 U.S.C. 601).

k. Prohibition against:

(*1*) Embezzlement of Government money or property (18 U.S.C. 641).

(*2*) Failing to account for public money (18 U.S.C. 643).

(*3*) Embezzlement of the money or property of another person in the possession of an employee by reason of his employment (18 U.S.C. 654).

l. Prohibition against:

(*1*) Disclosure of classified information (18 U.S.C. 798).

(*2*) Disclosure of confidential information (18 U.S.C. 1905).

m. Prohibition against fraud or false statements in a Government matter (18 U.S.C. 1001).

n. Prohibition against participation in lottery enterprises (18 U.S.C. 1303).

o. Prohibition against carriage of mail contrary to law (18 U.S.C. 1693).

p. Prohibition against desertion of mail (18 U.S.C. 1700).

q. Prohibition against obstruction of correspondence (18 U.S.C. 1702).

r. Prohibition against delay or destruction of mail or newspapers (18 U.S.C. 1703).

s. Prohibition against theft of mail (18 U.S.C. 1709).

t. Prohibition against theft of newspapers (18 U.S.C. 1710).

u. Prohibition against misappropriation of Postal Service funds (18 U.S.C. 1711).

v. Prohibition against falsification of postal returns (18 U.S.C. 1712).

w. Prohibitions against improper issuance of money orders (18 U.S.C. 1713).

x. Prohibition against misuse of the franking privilege (18 U.S.C. 1719).

y. Prohibition against sale or pledge of stamps (18 U.S.C. 1721).

z. Prohibition against unlawful collection of postage (18 U.S.C. 1726).

aa. Prohibition against failure to account for postage (18 U.S.C. 1727).

bb. Prohibition against improper approval of bond or sureties (18 U.S.C. 1732).

cc. Prohibition against lobbying with appropriated funds (18 U.S.C. 1913).

dd. Prohibition against the use of deceit in an examination or personnel action in connection with Government employment (18 U.S.C. 1917).

ee. Prohibition against mutilating or destroying a public record (18 U.S.C. 2071).

ff. Prohibition against disclosure of lists of names and addresses (39 U.S.C. 412).

gg. Prohibition against making or receiving political recommendation for appointment or promotion (39 U.S.C. 1002).

hh. Prohibition against receipt of unauthorized fees (39 U.S.C. 1009).

ii. Oath of office required for all postal employees (39 U.S.C. 1011).

jj. Prohibition against opening first-class mail (39 U.S.C. 3623).

kk. Privacy Act of 1974 (5 U.S.C. 552a).

NOTE: In addition to these statutes, Executive Order No. 11222 of May 8, 1965, as made applicable to the Postal Service by Executive Order No. 11590 of April 23, 1971, prescribes standards of ethical conduct for officers and employees of the Government.

666 USPS Standards of Conduct

666.1 Discharge of Duties

Employees are expected to discharge their assigned duties conscientiously and effectively.

666.2 Behavior and Personal Habits

Employees are expected to conduct themselves during and outside of working hours in a manner which reflects favorably upon the Postal Service. Although it is not the policy of the Postal Service to interfere with the private lives of employees, it does require that postal personnel be honest, reliable, trustworthy, courteous and of good character and reputation. Employees are expected to maintain satisfactory personal habits so as not to be obnoxious or offensive to other persons or to create unpleasant working conditions.

666.3 Loyalty

Employees are expected to be loyal to the Government and uphold the policies of the Postal Service.

666.4 Performance of Public Duties

Employees are expected, when called upon, to serve on juries or to act as witnesses.

666.5 Obedience to Orders

.51 Protests

Employees will obey the instructions of their supervisors. If an employee has reason to question the propriety of a supervisor's order, the individual will nevertheless carry out the order and immediately file a protest in writing to the official in charge of the installation, or appeal through official channels.

.52 Reporting of Violations

Violations of postal laws, including irregular practices involving the handling of stamps, funds, or accounts will be reported immediately to the postal inspector in charge.

666.6 Cooperation in Investigations

Employees will cooperate in any postal investigation.

666.7 Furnishing Address

Employees must keep the installation head informed of their current mailing addresses. Any changes in mailing addresses will be reported on Form 1216, *Employee's Current Mailing Address*, to the installation head who will forward copy No. 1 to the Postal Data Center.

666.8 Attendance

.81 Requirement for Attendance

Employees are required to be regular in attendance.

.82 Absence Without Permission

Employees failing to report for duty on scheduled days, including Saturdays, Sundays, and holidays, will be considered absent without leave except in actual emergencies which prevent obtaining permission in advance. In emergencies, the supervisor or proper official will be notified as soon as the inability to report for duty becomes apparent. Satisfactory evidence of the emergency must be furnished later. An employee who is absent without permission or fails to provide satisfactory evidence that an emergency existed will be placed in a nonpay status for the period of such absence. The absence will be reported to the appropriate authority.

.83 Tardiness

Any employee failing to report by the scheduled time when time recorders are not used is considered tardy. Tardiness in units or installations equipped with time recorders is defined as being any deviation from schedule.

.84 Falsification in Recording Time

Recording the time for another employee constitutes falsification of a report. Any employee knowingly involved in such a procedure is subject to removal or other discipline. Failure of a supervisor to report known late arrivals is regarded as condoning falsification.

.85 Incomplete Mail Disposition

It is a criminal act for anyone who has taken charge of any mail to quit voluntarily or desert the mail before making proper disposition.

.86 Disciplinary Action

Postal officials will take appropriate disciplinary measures to correct violations of these requirements.

667 Legal Assistance Provided by the Postal Service

667.1 Defense of Civil Suits Against Postal Service Employees Arising Out of Their Operation of Motor Vehicles

.11 Coverage. This section sets forth the procedure to be followed by Postal Service employees (or their personal representatives if the action is against the employee's estate) against whom a civil action for damage to property or for personal injury or death is brought, arising out of the employee's operation of a motor vehicle in the scope of that person's employment. Under the Federal Drivers Act (28 USC §2679 (b)–(d)), employees who are found to have acted in the scope of their employment while operating a motor vehicle are absolutely immune from personal liability.

.12 Employee Responsibilities. The employee immediately upon being served will deliver all process and pleadings (or an attested copy) to the employee's immediate supervisor for routing to the head of the employee's installation.

.13 Installation Head Responsibilities. The installation Head or designee will forward all process and pleadings to the Postal Inspection Service office for the district where the action or proceeding is brought, together with all available information concerning the accident, for referral to the United States Attorney.

667.2 Representation of Postal Service Employees By the Department of Justice (All Cases Not Covered By 667.1)

.21 General

An employee named as a defendent in a civil or criminal proceeding as a result of any incident occurring within the scope of the employee's official duties (other than a civil action arising out of a motor vehicle accident as described in 667.1) may either request representation by the Department of Justice, following the procedure in 667.22, or retain private counsel.

.22 Procedure for Requesting Legal Representation by the Department of Justice

.221 Employee Responsibilities

To request legal representation by the Department of Justice, the employee must promptly submit, through channels, a written request for representation. Failure to do so may prevent the processing necessary to obtain approval. The request, with all pertinent documents, must be routed initially to the employee's installation head or other designated official (see 667.222). The Department of Justice asks that it be addressed, but not sent directly, to the Assistant Attorney General, Civil Division, Department of Justice, Washington, DC 20530, and that it contain:

a. The date employee was served with process.

b. A statement that the employee has read the complaint; that all conduct related to the allegations in the complaint occurred within the scope of the employee's official duties; and that such conduct was done in good-faith belief that it was proper.

c. A statement describing in detail the employee's knowledge of the subject matter of the complaint.

d. A statement that the employee understands the following conditions:

(*1*) Private counsel may be obtained for advice or defense at the employee's own expense.

(*2*) In the event of an adverse judgment or a settlement, representation by the Department of Justice provides no payment, or indemnification for payment, in the employee's behalf. However, in accordance with 667.3, the employee may request that the Postal Service pay the judgment or settlement.

.222 Installation Head Responsibilities.

Unless special instructions have been received from the Law Department to send the request to Labor Law Counsel, the installation head or other designated official should forward the request without delay to:

Assistant General Counsel
Claims Division, Law Department
United States Postal Service
Washington, DC 20260

The installation head or designee should submit a covering transmittal memorandum containing a recommendation as to whether representation would be in the best interest of the United States Postal Service and a statement detailing the installation head's or designee's knowledge of the subject matter of the case.

.23. Criteria for Granting Representation.

The Department of Justice provides representation at its discretion and only after it determines that the employee acted within the scope of his authority and that such representation would be in the best interest of the United States.

667.3 Reimbursement of Employees for Legal Fees, Judgments, and Settlements.

.31 Legal Fees.

An employee whose request under 667.22 has been denied for any reason may request, through the appropriate Regional Counsel, reimbursement for legal fees incurred by the use of private counsel.

.32 Judgment.

An employee who has filed a request for representation under 667.22 may file with the appropriate Regional Counsel a request for payment of any adverse judgment or settlement.

.33 Criteria for Reimbursement.

Each request for reimbursement for legal fees, judgments, or settlements will be considered by the Regional Counsel on its individual merits after the case is concluded. Generally, reimbursement will be made if:

a. It is equitable and fair to do so.

b. The employee acted reasonably, within the scope of his authority, and not recklessly, in bad faith, or with obvious indifference to instructions.

c. The amount requested is reasonable and reimbursement is deemed to be in the best interest of the Postal Service.

667.4 Governors of the Postal Service, Officers, Employees in the Postal Career Executive Service, and Headquarters Employees

.41 Request for Legal Representation.

The provisions of 667 apply also to the Governors of the Postal Service, the officers of the Postal Service, employees in the Postal Career Executive Service, and Postal Service headquarters employees. If such persons are named as defendants and desire to be represented by the Department of Justice, they must submit their requests in accordance with 667.22 to the General Counsel.

.42 Legal Fees.

A person covered by 667.4 who is represented by private counsel may apply to the General Counsel for payment or reimbursement for legal fees. The General Counsel will exercise discretion according to the criteria in 667.33.

.43 Judgments.

A person covered by 667.4 may apply to the General Counsel for payment or reimbursement for any adverse judgment or settlement. The General Counsel will exercise discretion according to the criteria in 667.33.

668 Restrictions

668.1 Prohibited Personnel Practices

.11 Restrictions

.111 General. The following restrictions apply to any USPS employee who has authority to take, direct others to take, recommend or approve any personnel action with respect to any employee, eligible, or applicant.

.112 Prohibited Discrimination

a. Political Affiliation. No discrimination may be exercised, threatened, or promised by any person or in favor of any employee, eligible, or applicant because of political affiliation except as may be authorized or required by law.

b. Marital Status. No person may be discriminated against because of marital status in connection with examination, appointment, reappointment, reinstatement, reemployment, promotion, transfer, demotion, removal or retirement.

c. Race, Color, Religion, Sex, Age, National Origin, Physical or Mental Handicap. See detailed restrictions in Subchapter 670.

d. Conduct Which Does Not Adversely Affect Performance. No person may be discriminated for or against on the basis of conduct which does not adversely affect that person's performance or the performance of others; except that in determining suitability or fitness of that person, any conviction for any crime under the laws of any State, of the District of Columbia, or of the United States may be taken into account.

.113 Neopotism. See section 312.3 of Handbook P-11, *Personnel Operations.*

.114 Improper Employment and Placement Practices. Deceitfully or willfully obstructing or improving the prospects of any person competing for a position by granting a preference or advantage not authorized by law, rule or regulation (including defining the scope or manner of competition or the requirements for a position) or by influencing anyone to withdraw from competition for a position is prohibited.

.115 Improper Recommendations. Soliciting or considering any recommendation or statement, oral or written, with respect to any individual who requests, or is under consideration for any personnel action, is prohibited unless such recommendation or statement is based on the personal knowledge or records of the person furnishing it and consists of:

a. An evaluation of the work performance, ability, aptitude, or general qualifications of such individual; or

b. An evaluation of the character, loyalty, or suitability of such individual.

.116 Coercion of Political Activity. Coercion of the political activity of any person (including the providing of any political contribution or service), or the taking of any action as a reprisal for the refusal of any person to engage in such political activity, is prohibited.

.117 Reprisal for Exercising Appeal Rights. Taking or failing to take any personnel action as a reprisal for the exercise of any appeal right granted by a law, rule or regulation is prohibited.

.118 Reprisal for Release of Information. No one may take or fail to take a personnel action as a reprisal for a disclosure of information by an employee or applicant which the employee or applicant reasonably believes evidences:

a. A violation of any law, rule, or regulation, or

b. Mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, if such disclosure is not specifically prohibited by law or if such information is not specifically required by Executive Order to be kept secret in the interest of national defense or the conduct of foreign affairs.

.12 Remedies

.121 General. Complaints that one or more of the restrictions in 668.11 have been violated may, depending on the status of the employee complaining and the action taken against the complainant, be brought through the following appeal procedures.

.122 Equal Employment Opportunity Complaint Procedures. Any employee or applicant may file a complaint alleging discrimination based on race, color, sex, age, national origin, or handicapping condition, within 30 days. See Regional Instructions 942-P-192 (Filing No. 747) October 15, 1976 for detailed procedures.

.123 Grievance Procedure. Employees covered by a collective bargaining agreement may file grievances regarding wages, hours and working conditions in accordance with the provisions of the applicable agreement. Non-bargaining unit employees at EAS-16 and below may use the grievance procedure in ELM 652.4 to grieve matters other than suspensions or adverse actions. Non-bargaining unit employees at EAS-17 and above may use these procedures to appeal letters of warning and emergency placement in a nonduty status within 5 days of the action.

.124 Adverse Action Appeals to Merit Systems Protection Board. Veteran preference eligible employees with one year of current continuous service in the same or similar position may appeal removals, reductions in grade or pay, suspensions of more than 14 days, or furloughs of 30 days or less. The appeal must be made to the Merit Systems Protection Board within 20 days of the effective date of the action.

.125 Non-Bargaining Unit Appeals Procedure. Employees not subject to the provisions of a collective bargaining agreement who have 6 months of current continuous postal service may, under the provisions of ELM 650, appeal removals, reductions in grade or pay, suspensions or furloughs of 30 days or less.

.126 Prohibited Personnel Practices. Allegations of violations of the provisions of 668.11 Restrictions which cannot be brought through any other procedure may be sent to the Executive Assistant to the Postmaster General, Washington, DC 20260. Complaints filed with the Executive Assistant must be in writing, with as much specific information on the alleged violation as possible. Allegations of violations of law will be referred to the Inspection Service. The complainant will be informed in writing of the disposition of the complaint.

668.2 Service Matters

.21 Compiling Directories

Employees will neither compile nor assist publishers in compiling city directories for public use; nor request publishers to send free copies to them; nor accept any money or gratuity arising from publication of directories.

.22 Engaging in Campaigns for Changes in Mail Service

Employees in active status will not engage in campaigns for or against changes in mail service. This regulation will not be construed to infringe on rights to participate in labor organizations.

.23 Paying for Exchange of Positions

It is unlawful for employees to give or receive payment, directly or indirectly, to effect an exchange of positions in the same or different postal units, or any place in the public service. This offense is punishable by fine and imprisonment and disqualification from holding any office in the Federal Government.

.24 Manufacture of Rural Mail Boxes

Employees are prohibited from manufacturing or acting as the agent for a manufacturer of rural mail boxes.

.25 Loitering

Carriers will not loiter or stop for unnecessary conversation on their routes. Employees will not linger about cases or racks after their tours of duty have ended, nor report at cases or racks before their tours are scheduled to begin.

.26 Controversies With Public

Employees will not engage in controversies with customers, railway employees, airline employees, or other members of the public while on duty or on federal property.

.27 Obstructing the Mail

The United States Code, Title 18, Section 1701, provides penalties for persons who knowingly and wilfully obstruct or retard the mail. The statute does not afford employees immunity from arrest for violations of law.

.28 Giving Testimony or Campaigning for Additional Transportation Services

Postmasters and other field officials will not furnish postal information or testimonial statements or letters which purport to reflect postal needs to civic bodies or rail or air common carriers to be used in support of applications for new or additional common carrier service at a given community. Refer such requests for postal information to Headquarters. When there are justifiable reasons for recommending changes in transportation services, furnish a complete report to the proper official at Headquarters. Then await specific instructions before engaging in any local activity or hearing relative to such changes.

.29 Interception of Oral or Wire Communications by Postal Employees

.291 During the course of activities related to postal employment, no postal employee will record, monitor, or otherwise intercept the oral or wire communications of any other person through the use of any electronic, mechanical or other device, nor listen in on a telephone conversation, nor direct another to do so, unless all parties involved in the communication consent to such interception.

.292 This section does not apply to Postal Inspectors while acting in the course of their official duties. The conduct of Postal Inspectors in this area will be in accord with applicable Federal statutes governing the interception of wire or oral communications by law enforcement officers.

.293 For the purposes of this section, the terms oral communication, wire communication, intercept, and electronic, mechanical, or other device have the meaning used in Chapter 119, Title 18, United States Code.

668.3 Privacy of Information

Employees have an ethical obligation to hold information of a personal nature pertaining to postal customers and employees in confidence and to actively protect it from uses other than those compatible with the purpose for which the information was collected. Disclosure of information will be made only in compliance with the Postal Service regulations implementing the Privacy Act of 1974. In addition, no employee will maintain an unauthorized system of records which contains information about individuals. Employees will adhere strictly to the privacy procedures established to ensure the confidentiality and integrity of personal information collected, maintained, and used for official Postal Service business. Employees will be held responsible for violations of the privacy regulations and procedures. The Privacy Act provides criminal sanctions for violations of certain of its provisions.

669 Definitions

Definitions of terms used in this code are:

a. Postal Service. The United States Postal Service as established by Section 201 of Title 39, United States Code.

b. Employee. An individual appointed to a position temporary or permanent, within the Postal Service, or hired as an executive under the employment contract, including a substitute. The term employee does not include the Governors of the Postal Service and members of the Postal Service Advisory Council nor, unless the context requires, a special Postal Service employee.

c. Associate Ethical Conduct Officers. The persons designated in 661.812 and any other persons specifically designated by the Postmaster General to assist the Ethical Conduct Officer in administering this Code.

d. Person. An individual, a corporation, a company, an association, a firm, a partnership, a society, a joint stock company, or any other organization, institution or entity.

e. Special Postal Service Employee or Special Employee. An individual retained, designated, appointed, or employed in the Postal Service to perform, with or without compensation, temporary duties either on a full-time or intermittent basis not to exceed 130 days during a period of 365 consecutive days.

f. Official Responsibility. Direct administrative or operating authority, whether intermediate or final, and either exercisable alone or with others, and either personally or through subordinates, to approve, disapprove, or otherwise direct Postal Service action.

g. Employee's Interests. The interests of an employee, spouse, and, in addition, the interest of minor child or children, and other individuals related to the employee by blood who are residents of the employee's household.

h. Nominal Value. In respect to food and refreshment, nominal value means not in excess of what an employee would ordinarily and generally spend for food and refreshment when paying own bill. In respect to gifts, nominal value means an item having a retail value of not more than $2.00.

i. Business Dealings with the Postal Service. Any contract, work, or business, or the performance thereof, or any litigation arising out of or involving any contract, work, or business, or the sale or acquisition of any real or personal property, or any interest in property, whose expense, price, or consideration is payable by or to the Postal Service.

j This Code. The Code of Ethical Conduct for Postal Employees which consists of the regulations of the Postal Service which are published in 39 CFR 447.11 through 447.91 inclusive.

670 EQUAL EMPLOYMENT OPPORTUNITY

671 POLICY

.11 It is the policy of the Postal Service to provide equal opportunities for all employees in employment, training, promotion and assignment, and job security without discrimination because of race, color, religion, sex, national origin, or age.

.12 The goal of the Postal Service is to make equal employment opportunity a way of life in the Postal Service, with minority groups and women given every opportunity to be represented appropriately in all segments of the work force, supervision and management, consistent with our primary mission of moving the mail in a prompt, reliable and efficient manner.

.13 The policy of equal opportunities for all employees without discrimination because of race, color, religion, sex, national origin, or age is epoused by both the U.S. Postal Service and the exclusive unions, as evidenced by its inclusion in the collective bargaining agreements.

.14 In making management decisions, the Postal Service will consider the impact of such decisions upon the health, safety and comfort of all employees. Where minority groups and women are affected, the Postal Service will seek every practicable way, compatible with our basic mission, to avoid or minimize any adverse impacts and will make necessary management decisions in a strictly non-discriminatory manner.

672 DIRECTIVES

.21 Postal managers at all levels and others acting in behalf of the Postal Service shall review all decisions and actions in the light of this equal employment opportunity policy and work with diligence and good faith to make it an integral part of their overall management philosophy.

.22 All Headquarters and field managers shall review existing regulations, programs, functions and plans, and revise or supplement them to insure appropriate provision for minority groups and women. Among other things, this will include identification of members of minority groups (which are defined here as Blacks, Orientals, American Indians, Hispanics, Eskimos and Aleuts) and women for placement in all training programs and positions in the Postal Service. It will include action to correct underrepresentation of minorities and women in the work force, training programs and supervisory management levels.

.23 In respect to management actions affecting the health, safety, comfort or convenience of access of employees, Headquarters or field managers responsible for such actions shall conduct and document studies to determine the extent of such impacts and report actions taken or needed to minimize or avoid adverse impacts on minority groups and women. Careful attention shall be given to problems of transportation, parking, and housing in the case of new or relocated postal installations.

.24 In formulating procedures or implementing any personnel actions affecting groups of employees such as reductions-in-force, transfers, reassignments, etc., postal managers shall document the extent to which the impact of such actions disproportionately affects members of minority groups and women and the actions taken to avoid or minimize any disproportionate effect.

.25 Each fiscal year, the Senior Assistant Postmaster General, Employee and Labor Relations Group, will ensure the orderly development of a U.S. Postal Service National Affirmative Action EEO Plan. It shall include specific goals and objectives related to the equal employment opportunity policy and will be segmented into:

a. Organization and Resources
b. Discrimination Complaints.
c. Recruitment.
d. Full Utilization of Skills and Training.
e. Upward Mobility for Lower Level Employees.
f. Supervisory and Management Commitment.
g. Community Outreach.
h. Program Evaluation.

The plan shall establish action objectives, and set forth target dates, and identify officials responsible for their completion.

.26 Each fiscal year, the Chief Postal Inspector and each Regional Director, Employee and Labor Relations, shall ensure the orderly development of an Affirmative Action EEO Plan to implement the equal employment opportunity policy within the Postal Inspection Service, and each region, respectively. Each plan will encompass all subordinate elements and assigned employees.

.27 The managers designated in paragraphs 672.25 and .26 above are responsible for the attainment of the goals and objectives of their Affirmative Action Plan, and the action objectives established for subordinate organizations for which they are responsible.

.52 Inadequate documentation or insufficient consideration of these policies will be taken into account in the merit performance evaluation process.

.28 Willful failure to comply with these directives will be grounds for disciplinary action including termination of employment.

673 PROGRAM RESPONSIBILITIES

The specific program responsibilities in *a* through *h* are established to ensure that postal management complies effectively with these directives:

a. *Action.*—Develop, in accordance with equal employment opportunity policy and directives, affirmative action programs to reach the goals and objectives of equal opportunity for all persons in the Postal Service.
Responsibility.—Appropriate managers.

b. *Action.*—Review all Postal Service programs, procedures and systems for consistency with the equal

employment opportunity policy. Such programs, procedures and systems shall include, without limitation, capital investment decisions, site selections, postmaster selections and appointments, promotion systems, training programs and recruitment programs.
Responsibility.—Appropriate managers.
c. *Action.*—Review for approval the equal employment opportunity affirmative action plans and programs, and maintain continuing functional responsibility for the overall equal employment opportunity affirmative action program for the Postal Service. Give priority, in reviewing programs and approving plans, to installations and units where reports or investigations indicate a need for remedial action.
Responsibility.—Headquarters: Director, Office of Equal Employment Opportunity; Regions: Manager, Equal Employment Opportunity Branch, Employee and Labor Relations.
d. *Action.*—Provide guidance and direction to equal employment opportunity internal evaluation systems service-wide, including regional on-site equal employment opportunity evaluation programs. Monitor activity and results service-wide and submit periodic accomplishment reports to the appropriate managers.
Responsibility.—Director, Office of Equal Employment Opportunity.
e. *Action.*—Independent of the regional on-site evaluations, and the on-site evaluations conducted at the direction of the Chief Postal Inspector and the General Manager, Headquarters Personnel Division, as part of their own internal equal employment opportunity program evaluation efforts, the Chief Postal Inspector will conduct on-site Equal Employment Opportunity reviews in each region and USPS Headquarters for the Director, Office of EEO, so that reviews are conducted at least once every three years in each jurisdiction. The Chief Postal Inspector shall furnish the Director, Office of Equal Employment Opportunity, copies of the reports issued to the respective EEO Officers as a result of the reviews. The reports shall contain the findings of the review, and recommendations for any necessary remedial action.
Responsibility.—Chief Postal Inspector General Manager, Headquarters Personnel Division
f. *Action.*—As a special part of the overall review called for in *action* b, periodically review all testing programs, hiring practices and qualifications standards for initial entry and promotion to determine whether such practices tend to eliminate consideration of minority group members and women or make discrimination possible or likely.
Responsibility.—Assistant Postmaster General, Employee Relations Department.
g. *Action.*—Provide special programs for training, education and support for disadvantaged employees in order to help them improve performance and qualify for higher level jobs.
Responsibility.—Assistant Postmaster General, Employee Relations Department.
h. *Action.*—Communicate to all employees the importance of compliance by incorporating this philosophy in publications, instructions, regulations and programs conducted by the Postal Service.
Responsibility.—Assistant Postmaster General, Public and Employee Communications Department.

674 PROCEDURES

674.1 For procedures regarding precomplaint Counseling refer to: Regional Instruction 752-P-130, Filing No. 746.3-3, dated September 7, 1973, *The Pre-Complaint Counseling Function in the Processing of Equal Employment Opportunity Complaints.* (Furnished regional offices only.)

674.2 For procedures regarding Complaint Processing refer to: Regional Instruction 942-P-192, Filing No. 747, dated October 15, 1976, *Procedures for Processing Equal Employment Opportunity Complaints* (Furnished regional offices only.)

674.3 For procedures regarding Program Reviews refer to: Regional Instruction 813-P-157, Filing No. 746.3-2, dated January 20, 1975, *Regional Field Structure On-Site Equal Employment Opportunity Evaluations.* (Furnished regional offices only.)

674.4 For procedures regarding prescribed Use of Minority Codes refer to:
a. Regional Instruction 852-P-166, dated August 8, 1975, Filing No. 781.
b. Headquarters Circular V-H-1, dated August 8, 1975, Filing No. 75-35, *The Collection and Retrieval of Minority Designation Code Data.*

674.5 For procedures regarding Participation in Segregated Meetings refer to: Regional Instruction 904-P-183, Filing No. 742-1, dated May 5, 1976, *Federal Participation at Segregated Meetings* (Furnished regional offices only)

675 REFERENCES

675.1 Legislated EEO Requirements Related to Federal Employment:
a. Public Law 92-261, dated March 24, 1972, referred to as *The EEO Act of 1972.*
b. Public Law 93-259, dated April 9, 1974, referred to as *The Age Discrimination in Employment Act.*

675.2 Presidentially Proclaimed EEO Requirements Related to Federal Employment:
a. Executive Order 11478, dated August 8, 1969.
b. Executive Order 11590, dated April 23, 1971.

675.3 For personnel management practices related to equal employment opportunity in Federal employment refer to Chapter 713, *Federal Personnel Manual.*

675.4 Specifics on any of the above references can be obtained from the Regional Manager, Equal Employment Opportunity.

680 Participation in supervisory and Managerial Organizations

681 Participation Rights

681.1 To Membership

.11 Postal personnel have the right, freely and without fear of penalty or reprisal, to form, join, or assist a supervisory or managerial organization or to refrain from any such activity. Such personnel are protected in the exercise of such rights.

.12 No interference, restraint, coercion, or discrimination to encourage or discourage membership in such an organization shall be effected in the Postal Service.

681.2 To Represent Organization

.21 The right to membership extends to participation in the management of the organization, including service as organization representative and presentation of the organization's views to USPS officials and to officials of the Executive Branch, the Congress, or other appropriate authority.

.22 See subchapter 510 for the policies regarding granting leave for officers and members of employee organizations to participate in organization business and to attend organization conventions.

682 USPS Representation at Organization Gatherings

682.1 Explanation

.11 The USPS recognizes the need for effective rapport with the Postmasters' and Supervisors' associations. This part establishes policies and procedures for official USPS representation at meetings and conventions of the Postmasters' and Supervisors' associations.

.12 The policies stated here have been coordinated with the management associations. Any requested exceptions to these policies and procedures must be submitted in advance to the Senior Assistant Postmaster General for Employee & Labor Relations (SAPMG—E&LR).

682.2 National Conventions

.21 General Policies. When USPS representation is requested by a national postal management association president at a national postal management association convention, the principal spokesperson will be a senior official. When the association requests coverage of a specific subject, the USPS officer most familiar with the subject may also be designated to address the convention. USPS managers assigned to address national conventions may participate in the convention's workshops, seminars, or other sessions where the subject matter is USPS policies, procedures, or operations.

.22 Request Channels. National postal management association requests for Headquarters, Regional, District, or Inspection Service representation at national conventions are coordinated through the SAPMG—E&LR.

682.3 State Conventions

.31 General Policies. For a state postal management association convention, USPS headquarters will designate an Officer from Headquarters, a Regional Postmaster General (RPMG), or a Regional Director to deliver remarks on behalf of the Postmaster General. In addition, the appropriate RPMG has the discretionary authority and is encouraged to designate one or more representatives from within the region and to determine the extent of their participation in the state convention. Regional Chief Inspectors will designate Inspection Service representatives.

.32 Request Channels. State postal management association requests for regional, regional Inspection Service, and field management representation at state conventions are coordinated through the RPMG, who makes the final determination. The SAPMG, E&LR Group, makes the final determination on officials to represent the Postmaster General.

682.4 Meetings

When USPS representation is requested at a postal management association meeting other than a convention, the RPMG has the discretionary authority to designate one or more representatives from within the region and to determine the extent of their participation in the meeting. Regional Chief Inspectors will designate Inspection Service representatives. Requests for USPS Headquarters representation at such meetings are to be directed to the SAPMG, E&LR Group, for determination.

683 MSC Meetings for Postmasters

683.1 Explanation

.11 This section establishes policies and procedures for a program of operating/training meetings for postmasters within each management sectional center (MSC).

.12 Each MSC manager has periodic group meetings with postmasters to discuss and coordinate operational matters and/or provide training on subjects not covered in standard training courses. The primary focus of these meetings is to discuss policy changes and to resolve current operating problems affecting the MSC.

683.2 Responsibilities

.21 Regional Headquarters. Each Regional Headquarters is responsible for:

a. Assuring that these instructions are implemented and that the meetings are scheduled and conducted according to these guidelines.

b. Coordinating nationwide and region-wide operating/training requirements with the District Managers.

.22 District Office. Each District Manager is responsible for:

a. Coordinating national, regional, and district operating/training requirements with the MSC Manager/Postmasters.

b. Providing assistance to MSC Manager/Postmasters in planning and preparing for these postmaster meetings.

c. Insuring that these MSC meetings are well-planned, productive work sessions.

.23 Management Sectional Center. The MSC manager or postmaster and the MSC directors are responsible for:

a. Planning and conducting the postmaster operating/training meetings in accordance with these instructions. (MSC personnel, such as functional specialists including PEDC managers, provide support as required.)

b. Conducting a review immediately following each postmasters' meeting to:

(*1*) Follow up and resolve operating problems identified during the meeting.

(*2*) Assure that any postmasters absent for good cause are advised of information covered at the meeting.

(*3*) Make preliminary plans for improving the quality of the next meeting.

683.3 Schedule

The schedule for these meetings is developed as follows:

a. Annually for EAS A through EAS 11 postmasters from offices without delivery service, either rural delivery or star route box delivery and collection service.

b. Semi-annually for EAS 13 and EAS 15 postmasters from offices with rural delivery and/or star route box delivery and collection service. One of these two meetings may include the annual meeting for EAS A through EAS 11 postmasters from offices that do not have delivery service.

c. Quarterly for postmasters in grades EAS 18 and above which may include the annual and/or semi-annual meeting for EAS A through EAS 15 postmasters.

d. Additional meetings are held as needed with postmasters of affected offices, when major changes in operations or programs are being implemented.

683.4 Location and Expenses

.41 Facilities. Postal facilities are used for the meetings, where possible. In selecting the location, travel costs and adequacy of the facility are to be considered. If lodging is required, group arrangements are made in advance consistent with the Postal Service's financial situation.

.42 Travel. Participants are on official duty status. Transportation expenses and per diem are reimbursed in accordance with Handbook M-9, *Travel.*

.43 Expenses. All operating/training meeting expenses are charged to Account Number 56605.

Chapter 7
Training

710 Overview

711 Background

711.1 Definition

U.S. Postal Service training is a planned and coordinated process for developing postal employees' knowledge and/or skills. It encompasses craft, clerical, scientific, technical, professional, fiscal, administrative, managerial and other fields. It may be (a) an entire course, seminar, workshop, (b) a routine of instruction or education, or (c) an element of a program, system or curriculum.

711.2 Policy

The Postal Service maintains a training system which meets the needs of the organization by developing the knowledge and skills required of its employees and also provides individuals with opportunities to prepare for career advancement.

711.3 Objectives

Training is planned and administered to meet one or more of the following objectives:

a. Enable employees to upgrade or maintain proficiency in their current jobs.

b. Enable employees to acquire job-related knowledge and skills after selection for, or assignment to, a position or duty.

c. Enable employees to learn new Postal Service systems, procedures, or technology.

d. Enable employees to acquire knowledge and skills to meet projected organizational needs.

e. Enable managers, staff personnel, technical specialists, and others to keep abreast of new ideas, techniques, and concepts having potential application to postal operations.

f. Enable employees to obtain knowledge and skills necessary to be considered for assignment to other lines of Postal Service work, or to higher level, more responsible Postal Service work (e.g., to achieve career development and affirmative action goals).

711.4 Responsibilities

.41 Managers. Training of postal employees is a responsibility of all levels of management. Specifically, managers have a responsibility to:

a. Assure that employees under their jurisdiction are trained, in a timely manner, to perform their assigned job tasks.

b. Identify and provide for other training to meet the needs of the organization and of individual employees.

c. Plan for the training of their employees in coordination with the Postal Employee Development Centers (PEDCs) responsible for their postal facilities.

d. Follow up after job and developmental training to insure optimum and appropriate use of newly acquired knowledge and skills.

.42 Employees. Employees have a responsibility to make effective use of training opportunities directed by management in order to perform their duties correctly and efficiently.

711.5 Categories of Training

.51 Job Training

.511 Description. Training required by management to qualify an employee for presently assigned duties or to improve the employee's performance of presently assigned duties.

.512 Requirements. In *job training* all of the four following conditions are met:

a. Management requires attendance at the training.

b. The training is related to the performance of the employee's current job.

c. The Skill or knowledge learned is required for the current job and *not* for qualification or promotion to another job.

d. Refusal to attend the training or less than satisfactory performance in the training might jeopardize the employee's present position or condition of employment.

.513 Examples. Specific examples of compensable job training, when permitted by management are:

a. General orientation for a new employee.

b. A PEDC course in electricity, mechanics, or basic electronics for a Mechanic, MPE.

c. A driver training program for a Motor Vehicle Operator.

d. A resident training program on automatic transmissions for an Automotive Mechanic.

e. A PEDC financial transaction course for a Window Clerk.

f. A PEDC or resident digital electronics course for an Electronic Technician.

.52 Developmental Training

.521 Description. Training given an employee who has been identified through a formal selection process in which he was an applicant for a definite or potential future assignment, subject to satisfactory completion of training and/or job performance examination. Postal training authorized by management which enables employees to enhance their knowledge and skills unrelated to their present jobs in order to attain a self-determined career goal or objective shall be considered as developmental training for pay purposes (see 711.525). The training is primarily designed to qualify the employee to perform the duties of a position to which the employee is not officially assigned.

.522 Requirements. In developmental training all of the four following conditions are met:

a. Management requires satisfactory completion of the training and/or job performance examination for all individuals who have been identified through some selection process and who wish to qualify for a promotion or specific future assignment.

b. The training is not directly related to the employee's present job.

c. The skill or knowledge learned is intended to qualify the employee for a promotion or specific future assignment other than the current job.

d. Refusal to attend the training program or less than satisfactory performance in the training program would not jeopardize the employee's present position or condition of employment.

Note: The training described in 711.525 shall be considered as developmental for pay purposes without meeting the four conditions stated above.

.523 Examples. Specific examples of developmental training for employees who have been selected for positions or assignments requiring the skills in the training courses referred to are:

a. A PEDC or resident digital electronics course for a Mechanic, MPE.

b. A PEDC course in electricity, mechanics, or pneumatics and hydraulics for a Mechanic's Helper.

c. The standard window clerk training program for a Distribution Clerk.

d. A resident engine tune-up course taken by a Garageman.

e. The postmasters correspondence course taken in preparation for a specific OIC assignment.

.524 Conditions. The Postal Service's policy determination to pay for certain types of training falling within the criteria stated here for developmental training is discretionary, not legally required. Where specific provisions found in other Postal directives provide that a type of training that would fall within these criteria is not compensable, such training is not considered developmental training for purposes of this section or for purposes of the training pay provisions contained in section 438.2.

.525 Career Development. Nonexempt employees are not permitted to enroll or participate in any postal training program outside of regular work hours or without supervisory authorization. All such training must be given on-the-clock on postal premesis or specifically authorized contractor facilities, and only with prior management approval. Employees may request to participate in postal training programs to assist in their career development. Management has the option to approve such participation for those employees for whom the potential postal benefit justifies such action. Managers should take into account the provisions of 713.1 and 713.2 when making these decisions.

712 Training Compensation Guidelines

712.1 General

The determination as to whether time spent in training is compensable depends upon (a) the eligibility of the employee under FLSA; (b) the category of training; and (c) when the training takes place. The application of these concepts is elaborated in ELM 438.2.

712.2 Types of Compensable Training Time

Compensable training time includes time in actual training and all related study, practice, and laboratory time suffered or permitted by management. Compensable training will be accomplished under postal supervision and on postal premises.

712.3 Management and Employee Responsibilities

.31 Management must inform each employee of all factors relavent to the training program being taken, such as alloted time, non-availability of supplemental training time, the prohibition to removal of training materials from postal premises, etc.

.32 Each employee must follow the applicable rules and guidelines of any training program. Failure to adhere to the rules set forth can result in disciplinary action.

713 Selection

713.1 Equal Opportunity Policies

There is to be no discrimination because of race, color, religion, sex, national origin, age, or any other nonmerit factor in the selection of employees to participate in training. If the training is to be considered in a subsequent promotion action, all eligible employees must be considered for the training.

713.2 Selection Considerations

Except as otherwise specified in a collective bargaining agreement, the following considerations apply in selecting individuals for training:

a. Degree to which an employee's improved knowedge, skills, and performance will help meet immediate organizational needs.

b. Relative degree of an employee's need for training.

c. Extent to which an employee's knowledge, skills, and performance are likely to be improved by training.

d. Length of time and degree to which the Postal

Service will benefit from an employee's improved knowledge, skills, and performance.

e. Results of previous training completed by an employee.

f. An employee's own interest in and efforts to improve work performance.

g. Potential of an employee for advancement to positions in which the training can be beneficially utilized.

h. If appropriate, the ability of an employee to pass the training on to others upon return to the job.

i. Affirmative action goals

713.3 Assignment After Training

Unless specifically stated in current directives, successful completion of a training program does not guarantee promotion or selection to a given vacancy.

714 Training Delivery

714.1 General

.11 Definitions

.111 Postal Training is training conducted: a) by USPS sources and b) by non-postal sources under contract with the USPS.

.112 Non-Postal Training is training conducted by non-postal sources under a tuition or registration fee arrangement.

.12 Choice of Training Source

.121 Most USPS employee training is accomplished in-house by postal sources. Normal order of priority in the selection of a training source is (a) postal, (b) other government agencies, and (c) non-government organizations.

.122 Managers may choose to use a non-postal training source only if justified after considering need, cost, benefit, and available training through postal sources.

714.2 Postal Training Delivery

.21 Delivery Modes. Postal training is conducted (a) locally, (b) by correspondence, and (c) off-site at a resident or other facility. Often particular training is accomplished through a combination of delivery modes.

.22 Delivery Sources

.221 PEDC All local training is administered through the servicing PEDC. (The PEDC also coordinates participation in PST&DI correspondence and off-site training, as well as in non-postal training.) *Examples of* PEDC training programs are (a) orientation and craft skills courses fulfilling Handbook P-23 requirements, (b) premaintenance courses, and (c) miscellaneous management and professional courses.

.222 PST&DI Correspondence Programs. USPS correspondence programs (available for all postal employees) are administered by PST&DI in a variety of USPS-related subjects.

.223 PST&DI Management Academy (National Center and Field Centers). Management Action Series programs and other management and professional programs are administered by the PST&DI Management Academy.

.224 PST&DI Technical Center. Technical maintenance programs are administered by the PST&DI Technical Center.

.225 Inspection Service Career Development Branch. Programs for postal inspectors and security police officers are administered by the Inspection Service Career Development Branch.

.226 Regions and Districts. Regions and districts may occasionally administer (a) one-time, completely local training and (b) other training as authorized in 721.22.

714.3 Non-Postal Training Delivery

Non-postal training delivery sources are (a) government agencies, (b) colleges and universities, and (c) other non-postal organizations. The normal delivery mode for non-postal training is off site at a non-postal facility. (See 740.)

715 Training Systems

715.1 Explanation

The USPS training systems described in 714 are systems designed for specific USPS employee categories (craft, technical maintenance, management/professional, and Inspection Service employees). Individual in-house courses within these training systems are described in the *PST&DI General Training Catalog.*

715.2 General Orientation

General orientation training is required for newly hired career employees at all levels their first day of official duty. Handbook P-23 provides detailed policies and procedures related to general orientation training, which is administered through the PEDCs.

715.3 Craft Training

.31 Craft Orientation. Craft orientation is required: a) on the first workday following completion of general orientation for newly appointed career craft employees, and b) immediately upon assignment for current career employees who have transferred to a different craft. Handbook P-23 provides detailed policies and procedures related to standardized craft orientation programs, which are administered through the PEDCs.

.32 Craft Skills. Craft skills training is required (a) for newly appointed career craft employees and (b) craft employees given new duties within the scope of their assignment, at the direction of management. Craft skills training follows craft orientation, and is normally provided before an employee is required to perform duties under routine supervision. Handbook P-23 provides detailed policies and procedures related to craft skills training programs, which are administered through the PEDCs.

715.4 Technical Maintenance Training

.41 General. Technical maintenance skills training beyond that stated in Handbook P-23 is required for employees assigned to, or selected for, specific maintenance positions and duties. Such training is normally provided prior to assuming new job responsibilities.

.42 Subjects. The total technical maintenance curriculum covers both fundamental and specialized knowledge and skills related to the maintenance of Postal Service buildings and equipment systems. Specific technical maintenance subject matter areas include: mail processing equipment, building equipment, support equipment, automotive equipment, customer service equipment, buildings, and maintenance administration.

.43 Delivery. Delivery depends on the type of training:

a. Premaintenance courses offering basic, preresident, or stand-alone training are delivered locally through the PEDCs and as correspondence courses through PST&DI.

b. More advanced technical maintenance knowledge and skills are taught in combined classroom laboratory courses at the PST&DI Technical Center. All programs delivered at the Technical Center are designed and scheduled to conform to a training day of no more than eight hours, and a training week of no more than five consecutive workdays.

c. Additional follow-on training is administered on site, after participation in certain highly advanced resident Technical Center courses.

715.5 Management and Professional Training

.51 Management Action Series (MAS). Management Action Series training is required for all newly assigned supervisors, managers, city delivery postmasters, and staff professionals, normally commencing within 4 months of appointment. Included in the target population are initial managerial appointments, as well as subsequent promotions. Separate MAS programs are available through the PST&DI Management Academy in all major USPS functional areas and management levels. Each MAS program includes 3 phases:

Phase I	Preparation, conducted at the local office.
Phase II	Resident Training, conducted at PST&DI facilities.
Phase III	On-the-Job Application and Certification, conducted locally. In phase III of MAS, the immediate manager evaluates for 6 months the participant's job performance for the purpose of performance certification.

.52 Management Training Series (MTS). Management Training Series training is available for all incumbent supervisors, managers, city delivery postmasters, and staff professionals. MTS programs are a means for local management to periodically certify acceptable job performance. MTS performance certification is considered as a factor for promotion in those areas where appropriate MTS programs are available. MTS programs are available in all major Postal Service functional areas and management levels and are administered locally through the PEDCs. The programs are based on a combined self-instructional, manager-assisted format. They include 3 phases:

Phase I	Performance Assessment.
Phase II	On-Site Training.
Phase III	Performance Assurance and Certification. In Phase III of MTS, the immediate manager evaluates over a period of time the participant's job performance for the purpose of performance certification.

Note: Employees afforded the opportunity to take MTS programs for developmental purposes (see 711.525) will complete only Phases I and II.

.53 Executive Leadership. The Executive Leadership Program authorizes selected experienced postal managers to participate in advanced management courses conducted by particular universities. The program is directed to improving and expanding these managers' abilities in their current positions and building their capabilities to assume greater executive responsibility. Each year, Headquarters (Employee Relations Department) publishes a memorandum containing current guidelines and detailed information on the Executive Leadership Program.

.54 Other. Other job-related training of either a general or specialized nature is provided as needed for management and professional personnel, such as:

a. General management training.

b. Specialized training to help employees keep abreast of developments and practices in a technical or professional field, or acquire knowledge or abilities related to postal programs or policies.

715.6 Inspection Service Training

.61 General. Initial and in-service training is required for postal inspectors and security police officers. Such training for Inspection Service personnel is developed and administered by the Career Development Branch of the Inspection Service.

.62 Inspectors. Initial training for newly appointed inspectors is an extensive program of resident training combined with field instruction. In-service resident training courses, supplemented by correspondence programs, are provided as needed to incumbent postal inspectors.

.63 Assistant Postal Inspectors-In-Charge. A Management Action Seminar is given to Assistant Postal Inspectors-In-Charge.

.64 Security Police Officers. Newly appointed security police officers initially receive a program of resident training, and incumbent security police officers are given modules of state-of-the-art field training.

716 Career Development

Employees are encouraged to pursue career-development opportunities (i.e., training in order to attain an employee-determined goal or objective.) Such opportunities are offered in-house through PEDC and correspondence programs (see 711.525). Training and development counseling is available to employees through the PEDCs.

717 Expenses

717.1 Travel

.11 General. The Postal Service pays necessary travel expenses (transportation and per diem), in accordance with Handbook M-9, *Travel,* to compensate employees for costs directly related to required offsite training. Authorized travel for training expenses are claimed on Form 1012 *Travel Voucher,* or Form 1164, *Claim for Reimbursement for Expenditures on Official Business,* as outlined in Handbook M-9. It is important that the budget official charge these expenditures to the proper travel-for-training account, as distinguished from other travel expenses for official purposes. (For pay during travel see 438.1).

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.12 Intermediate Travel Home

.121 General. Employees are authorized an intermediate weekend trip to their permanent duty station during extended training sessions as follows:

Training of 3 weeks or less	None
Training of 4-6 weeks	1 Trip
Training of 7-9 weeks	2 Trips
Training of 10-12 weeks	3 Trips

Weekend trips for training of longer duration are authorized based on the same time increments. No pay is allowed for time spent on intermediate travel home.

.122 Scheduling. Specific weekend scheduling information is given to each employee scheduled for a course in excess of 3 weeks.

.123 Trip Destination. A weekend return trip is authorized only to the employee's permanent duty station.

.124 Exceptions. Exceptions to this section may be approved in accordance with section 331.26 of Handbook M-9, *Travel.*

717.2 Facilities

Postal facilities are used for postal training when available and adequate. If not available, consideration is to be given to using facilities available through other government agencies, including the military service.

717.3 Tuition, Fees, Books, and Supplies

The Postal Service pays approved expenses for tuition, fees, books, and supplies for authorized non-postal training. (See 740.)

718 Non-Postal Employee Participation in Postal Training

USPS training may not be provided to non-postal personnel, except as follows:

a. Other Government Agency Employees. Representatives of other government agencies may participate in postal training programs if approved by the MSC Manager or other installation head. The training must be officially requested and must not interfere with meeting postal needs. Reimbursement, if any, is determined on an individual basis.

b. Official Contractor Employees. Postal Service contractor representatives may participate in postal training programs if approved by the Assistant Postmaster General, Employee Relations, and the training can be provided without interference with meeting postal needs. Reimbursement, if any, is determined on an individual basis.

c. Foreign Government Employees. Representatives of other nations' governments or postal systems may participate in postal training if the training is officially requested through the Headquarters Office of International Postal Affairs, and it can be provided without interference with meeting postal needs. Such training is coordinated through PST&DI.

d. Other postal programs specifically approved by Headquarters.

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720 Training Responsibilities/Functions

721 Organizational Responsibilities/Functions

721.1 Headquarters

The Senior Assistant Postmaster General, Employee and Labor Relations Group, through the Assistant Postmaster General, Employee Relations Department, and the Director, Postal Service Training and Development Institute, is responsible for the nationwide USPS training system.

721.2 Postal Service Training and Development Institute (PST&DI)

.21 General. The Director, PST&DI, is responsible for overall management of the USPS training system. In cooperation with Headquarters organizations and the regions, PST&DI designs, develops, validates, implements, and controls national postal training programs. PST&DI either administers these programs directly, or, in the case of most field programs, distributes them to the PEDCs for local administration.

.22 Training Program Development. To ensure cost effectiveness and conformance with Headquarter's policy, PST&DI develops all postal training. Exceptions are as follows:

a. Regions and local offices may develop one-time, purely localized training, such as for orientation and implementation of local policies and procedures.

b. Regions and local offices may develop specific Handbook P-23 training, until such training becomes available as a national PST&DI program.

c. In unusual cases justified on the basis of cost savings, regions and local offices may develop other training, after receiving PST&DI approval.

721.3 Regions

.31 General. Each Regional Postmaster General, through the Regional Director, Employee and Labor Relations Department, and the General Manager, Employee Relations Division, is responsible for the operation of the regional training system.

.32 Specific. Specific regional training responsibilities and functions include:

a. Establishing regional PEDCs within national guidelines.

b. Establishing and implementing regional PEDC staffing criteria within national guidelines.

c. Establishing and implementing regional PEDC space allocations, according to Publication 37 and within other national guidelines.

d. Implementing national training policies and programs through the regional PEDC network.

e. Implementing the Training Activities Reporting System (TARS) throughout the PEDC network within national guidelines. (See 732.3)

f. Evaluating the impact of PEDC training and the PEDC's compliance with national and regional policies within national guidelines.

g. Establishing and implementing other measures to assure the successful operation of the regional PEDC network.

h. Coordinating regional training requirements with PST&DI. This responsibility includes coordinating regional needs for development or purchase of new training programs with PST&DI (721.22c).

721.4 Districts

District Managers are responsible for insuring that adequate training is provided to all employees within the district through designated PEDCs.

721.5 MSCs and Other Major Facilities

.51 MSC and Other Major Facility Heads. MSC Managers and heads of other major facilities are responsible for providing training to all their employees through designated PEDCs.

.52 PEDC Managers. PEDC Managers are responsible for managing all training services and activities for all employees in the PEDC area of responsibility. (See 722 for a detailed statement of PEDC responsibilities and functions.)

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722 Postal Employee Development Center (PEDC) Organization and Operations

722.1 Background

.11 Purpose. PEDCs are Postal Service field units located in specified postal facilities that are designed to provide area wide training and development support services for all postal personnel on a continuing basis. The primary mission of the PEDC is to help improve employee job performance. The PEDC also provides training and counseling for employees to voluntarily pursue career development goals.

.12 Concept

a. PEDCs provide the capability for field managers to discharge their responsibilities for the training and development of their assigned personnel.

b. All local training and development activities are directed by the PEDC Manager. Such management assures coordinated, professional training services and control of training resources, funds, and information.

c. Training activities administered by the PEDC network (national training courses published by PST&DI, locally approved training courses, Management Training Series, P-23 training, pre-requisite training required for USPS National Training Centers) are available to all postal employees. By the nature of the course content and the purpose for which the training is given, these training courses could fall into either of the two categories of training–job or developmental.

.13 Objectives

a. Provide timely, cost-effective training and development.

b. Make training and development available to all postal personnel, either at PEDCs or by providing training to non-PEDC offices.

c. Provide uniform training to employees whose jobs require uniform performance of job tasks.

d. Centralize the responsibility for all training services in the PEDCs.

e. Concentrate training resources to assist and encourage high quality training services.

f. Control training costs by budgeting for the costs of each item of planned training and by associating these costs with specific postal operations and activities.

722.2 Functions

The general function of PEDCs is to direct all training and development activities in assigned postal facilities, pursuant to operational guidance provided by the MSC head of Employee and Labor Relations and the MSC Manager/Postmaster. Specifically, each PEDC:

a. Determines training and development requirements in collaboration with local management.

b. Develops training plans to satisfy those requirements.

c. Assists in the development of budgets to support the training plans.

d. Executes the training plan.

e. Delivers all local training and/or arranges for its delivery.

f. Provides career counseling services and training programs to assist employees in preparing for different and greater responsibilities.

g. Maintains required records and submits reports as required.

h. Publicizes information on available training programs and services throughout the area of responsibility.

i. Provides information on request on available training programs and assists in interpreting and applying training policies.

j. As necessary, coordinates local activities and requirements with the Regional Directors, Employee and Labor Relations (e.g., local needs for the development or purchase of new training programs).

722.3 Responsibilities

.31 Employee and Labor Relations Group, Headquarters. The Senior Assistant Postmaster General, Employee and Labor Relations Group, USPS Headquarters, through the Assistant Postmaster General, Employee Relations Department, is responsible for the national PEDC network. The Employee Relations Department establishes policies and guidelines for the function and operation of the PEDCs.

.32 PST&DI. The Director, PST&DI, is responsible for the development and distribution of training programs to the PEDCs. In coordination with the functional groups at Headquarters, the regions, and the field, PST&DI (a) ascertains areas of operations, maintenance, management, and professional training required, (b) develops the necessary training programs, and (c) distributes these programs to the PEDCs.

.33 Regions. Regional Postmasters General, through the Regional Directors, Employee and Labor Relations, are responsible for the operation of the Regional PEDC network. The Regional Director, E&LR, implements national policies covering the establishment, staffing, operations, geographic area of responsibility, and evaluation of PEDCs.

.34 Districts, MSCs, and Other Major Facilities. District Managers and MSC Managers (for other major facility heads) are responsible for providing training and development services to their employees. Actual implementation of training is accomplished through the PEDCs.

.35 PEDCs. PEDC Managers pursuant to operational guidance provided by the MSC head of E&LR and the MSC Manager/Postmaster are responsible for directing all local training services and activities for all employees within the PEDC area of responsibility.

722.4 PEDC Network Operating Procedures

.41 Area of Responsibility

.411 The PEDC area of responsibility consists of all postal facilities for which the PEDC has been assigned the responsibility to provide training and development services on a continuing basis.

.412 Regional Directors, Employee and Labor Relations, insure that all postal facilities are assigned to the geographic area of responsibility of a specific PEDC. This assignment must include postal facilities with unique purposes such as bulk mail centers, postal data centers, procurement services offices, area supply centers, mail bag depositories and repair centers, etc.

.413 PEDCs establish a procedure to insure that all employees within their geographic area of responsibility receive required training.

.42 PEDC Manager Reporting Relationships

.421 If the PEDC is located in the same office as the MSC, the PEDC manager reports functionally and administratively to the MSC Director, Employee and Labor Relations (or equivalent, such as Director, Support).

.422 If the PEDC is located in an associate office, the PEDC Manager reports functionally to the Director, Employee and Labor Relations (or equivalent, such as Director, Support), of the MSC in whose area the PEDC is located, and administratively to the Postmaster of the associate office in which the PEDC is located.

.43 Regional PEDC Site Changes

.431 The Regional Postmaster General, through the Regional Director Employee and Labor Relations (a) determine the number of PEDCs which will provide training opportunities to all employees efficiently and (b) is responsible for the specific locations of PEDCs.

.432 Any alteration of the existing Regional PEDC network must receive prior concurrence of the APMG, Employee Relations. Such written requests must reflect that national policies and guidelines have been followed, and include the following:

a. The specific PEDC network change, including changes in the area of coverage.

b. Plans for insuring that the training capability of the network has not been diminished.

c. Plans for insuring that the affected postal facilities and PEDC personnel are informed of any new or changed responsibilities for the provision of training and development services.

d. Plans for insuring that staffing will be implemented according to established national guidelines.

e. Confirmation that space will be allocated as prescribed in Publication 37.

f. Confirmation of plans for adequate training equipment, materials, audio-visual and other training devices.

.44 Facilities

.441 Regional Directors, Employee and Labor Relations, determine the specific locations of the PEDCs.

.442 Publications 37 specifies the space allocations for PEDC activities.

.443 Regions may establish space for training on an as-required basis at non-PEDC sites (e.g., space for training MPLSM operators). The intent of this policy is to provide space to satisfy training requirements of an intermittent, low volume nature in cases where it is not cost effective to train in an PEDC office.

.45 Reviews. Regional review teams consisting of at least three members (one from Regional E&LR, one from another regional functional unit, and a PEDC Manager from another district) conduct periodic reviews of all PEDCs in the region. These reviews assess the qualitative impact of training on postal operating objectives and evaluate PEDC operations' compliance with national policies and regional guidelines. The results of each review are reported to Headquarters (Employee Relations Department) and to the District Manager and MSC Manager having jurisdiction over the PEDCs reviewed.

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730 Postal Training Procedures

731 Nomination/Registration

731.1 General

The PST&DI *General Training Catalog* provides information on Management Academy, Technical Center, USPS Correspondence, and PEDC courses to assist in nominating and registering individuals for postal training in all categories. PST&DI sends catalog changes to the PEDCs as they occur.

731.2 PEDC Programs

Nomination for all categories of training (see 711.5) are accomplished through the PEDC on the appropriate sections of Form 2432, *Individual Training Progress Report* (Exhibit 732.11). All training is recorded on Form 2432 and is reported on Form 2462, *Training Activities Reporting System* (Exhibit 732.33).

731.3 Correspondence Programs

Nomination and registration for job or developmental training in PST&DI correspondence courses is accomplished on Form 2432, *Individual Training Progress Report* (Exhibit 732.11) and on Form 3132, *Correspondence Course Application* (Exhibit 732.16).

731.4 Management Action Series (MAS) Programs

Nomination and registration for MAS programs are initiated by a computer process which extracts pertinent information from eligible individuals' Form 50 transactions.

731.5 Management Training Series (MTS) Programs

Nomination and registration for MTS programs are accomplished using the appropriate section of Form 2432. All training is recorded on Form 2432 and reported on Form 2462 (Exhibit 732.33).

731.6 Technical Center Programs

.61 Allocations. Training participant allocations for each Technical Center course are established in advance for each region, based on requirements submitted to Headquarters by the regions. The regions then make participant allocations to the districts.

.62 Nomination Form. Based on the regions' participant allocations to the districts, local offices nominate and register individuals for Technical Center programs on Form 1782, *Training Request, Authorization and Record* (Exhibit 732.13).

.63 Procedures

.631 The training candidate's supervisor (nominating manager) initiates the Form 1782 and forwards it to the individuals authorized to approve participation in the training and to certify and commit funds for transportation and per diem. Note:

a. The signatures of the nominating manager and the approving officials on Form 1782 constitute their certification that the employee's selection is consistent with the published training policies of the Postal Service and that prerequisites to the training have been met.

b. If the candidate does not meet established course eligibility prerequisites, a memorandum signed by the final approving official must accompany the Form 1782 certifying that an exception to the eligibility requirements is being requested by the authority of the region. Requests for waiver of prerequisite training must have the concurrence of the Technical Center prior to employee's entrance into the training program.

.632 After obtaining the Form 1782 approvals, the nominating manager sends 2 copies of the Form 1782 to the PEDC Manager, who forwards 1 copy as the nomination form to the Technical Center Registrar, P.O. Box 1400, Norman, OK 73069, and maintains 1 copy for the PEDC files. All nominations are forwarded to the Technical Center at least 30 days before the course is scheduled to begin. The Technical Center confirms the selection to the regions and sends the participant acceptance notification and an information packet through the installation head.

.633 Upon successful completion of the training, the Technical Center returns a copy of Form 1782 to the PEDC with Form 1734, *Record of Training* (Exhibit 732.12) for filing in the employee's Official Personnel Folder.

731.7 Other Programs

.71 Nomination Form. Nomination and registration for other categories of postal training (besides those listed previously) are accomplished on Form 1782, *Training Request, Authorization and Record* (Exhibit 732.13). Form 1782 is also used to nominate and register employees for technical center training (731.6) and for nonpostal training (742).

.72 Procedures

.721 The employee's supervisor (nominating manager) initiates the Form 1782 and forwards it to the individuals authorized to approve participation in the training and to certify and commit funds for transportation and per diem. The signatures of the nominating manager and the approving officials on Form 1782 constitute their certification that the employee's selection is consistent with the published training policies of the Postal Service, and that any prerequisites to the training have been met.

.722 After obtaining the Form 1782 approvals, the nominating manager sends 2 copies to the PEDC Manager, who forwards 1 copy as the nomination form to the postal organization conducting the training and maintains 1 copy for the PEDC files.

.723 Upon successful completion of the training, the postal training organization returns a copy of the Form 1782 to the PEDC with Form 1734, *Record of Training* (Exhibit 732.12), for filing in the employee's Official Personnel Folder.

732 Training Records and Reports

732.1 Individual Training Records

.11 Form 2432, *Individual Training Progress Report* (Exhibit 732.11). This form is executed to register employees for all categories of PEDC and correspondence programs. All hours engaged in training are recorded on this Form.

.12 Form 1734, *Record of Training* (Exhibit 732.12), for PST&DI, PEDC and correspondence programs. Upon successful completion of the training, 1 copy is issued to the participant and 1 copy is included in the employee's Official Personnel Folder. This form will be utilized for all categories of training.

.13 Form 1782, *Training Request, Authorization, and Record* (Exhibit 732.13) for off-site postal training and non-postal training. See 731.6 and 731.7 for use of Form 1782 in relation to off-site training and 742 for use of Form 1782 in relation to non-postal training.

.14 Form 180 and other certificates of training. These are issued to employees for retention upon successful completion of training.

.15 Form 2548, *Individual Record of Training* (Exhibit 732.15) for standardized orientation and craft skills training. This form is completed by the training agent (PEDC and/or employee's job instructor) and the immediate supervisor and is retained by the PEDC at one or more convenient locations (including the employee's worksite) determined by the PEDC Manager. Upon an employee's assignment to another installation, the Form 2548 is forwarded to the personnel office for inclusion in the employee's Official Personnel Folder and transfer to the receiving office.

.16 Form 3132, *Correspondence Course Application* (Exhibit 732.16) is executed for all categories of training, in conjunction with the Form 2432 (Exhibit 732.11). A Form 1734 (Exhibit 732.12) will be issued from PST&DI upon successful completion.

.17 Management Series

.171 Management Action Series (MAS) Performance Record. Upon successful completion of Phase III of MAS, the original of the MAS Performance Record, appropriately signed, is forwarded to the PST&DI Management Academy Registrar for issuance of a certificate of achievement. A copy of the record is placed in the participant's Official Personnel Folder.

.172 Management Training Series (MTS) Performance Record. Upon successful completion of Phase III of MTS, the original of the Performance Record, appropriately signed, is forwarded to the PST&DI Management Academy Registrar for issuance of a certificate of achievement. A copy of the record is placed in the participant's Official Personnel Folder.

732.2 National Training Files

Four training files are maintained nationally to record individual training experiences in management/professional, technical maintenance, PEDC, and correspondence programs.

732.3 Training Activities Reporting System (TARS)

.31 Purpose. The Training Activities Reporting System is established to record course participation at a PEDC by accounting period.

.32 Course Number Assignment. PST&DI assigns course numbers for all training. Regional Manpower Development Offices recommend to PST&DI course numbers for localized training developed (postal or nonpostal) by Regions or MSCs/PEDCs. The PST&DI Course Inventory provides course numbers for national courses and instructions for assignment of numbers to approved courses developed locally.

.33 Reporting Procedures. PEDCs submit a Form 2462, *Training Activities Reporting System* (Exhibit 732.33), for each employee training activity to PST&DI. Procedures are incorporated in *Guide for Training Activities Reporting System,* PST&DI publication, April 15, 1978.

732.4 Privacy Act Considerations

.41 General. Because training records contain information about individuals, they are handled and disclosed only in accordance with the Privacy Act and implementing instructions. See 732.1 for a list of training records.

.42 USPS Records System. Individuals' training records and related correspondence are maintained within the Postal Service under the records system entitled USPS 120.150. *Personnel Records–Recruiting, Examining, Training and Placement Records.*

733 Training Equipment, Programs, and Materials

733.1 Training Equipment

.11 Supply. PEDC requests for supply of audiovisual and other training equipment are submitted through current procurement procedures. Non-PEDC office requests for training equipment are coordinated with the PEDC having geographic responsibility for that office.

.12 Maintenance. The installation head insures the maintenance and repair of training equipment. Preventive maintenance and repairs are made by: (a) qualified maintenance employees of the installation; or (b) commercial firms at the discretion of the installation head. Non-PEDC office requests for equipment maintenance are coordinated with the PEDC having geographic responsibility for that office.

733.2 Programs and Materials

National PEDC program materials are distributed by PST&DI to the PEDC network. PEDC requests for training materials over and above the initial distribution from PST&DI are submitted on Form 2434, *Training Request* (Exhibit 733.2).

U.S. POSTAL SERVICE

INDIVIDUAL TRAINING PROGRESS REPORT

1. NAME *(Last—First—Middle Initial)*

2. SOCIAL SECURITY NO.

3. HOME ADDRESS *(No., Street, City, State and ZIP Code)*

4. PHONE *(Include Area Code)*

5. OFFICE *(Present position)*

6. PHONE (Office)

7. COURSE — a. NUMBER | b. TITLE | c. FUNCTIONAL AREA

8. TRAINING ASSIGNMENT — a. I AUTHORIZE THIS TRAINING AS COMPENSABLE ☐ JOB ☐ DEVELOPMENTAL | b. INSTALLATION HEAD/DESIGNEE | PRINTED NAME | DATE SIGNED | SIGNATURE

9. COMMENTS

The collection of information on this form is authorized by Title 39 USC 401, 1001. Completion of this form is voluntary. This information will be used for consideration and enrollment in the selected training program. This information may be disclosed to relevant Federal agencies regarding eligibility and suitability for employment: law enforcement activities where there is an indication of potential violation of the law, in connection with private relief legislation, to the Office of Management and Budget, to a Congressional office at your request, to a labor organization as required by the NLRA, to the Equal Employment Opportunity Commission when investigating an EEO complaint, and where pertinent in a legal proceeding to which the Postal Service is a party. If this information is not provided you may not receive desired training.

TRAINING PROGRESS

COURSE NUMBER AND TITLE | AUTH TIME | YEAR

NAME *(Last—First—Middle Initial)* | FUNCTIONAL AREA | DATE

MONTH	DAY	MODULE	TIME			CHECK (✓)		SCORE		FORM 2462 SUBMITTED	INITIALS	
			START	FINISH	TOTAL HOURS	ON CLOCK	OFF CLOCK	PRE-TEST	POST-TEST		EMPL	INSTR

☐ JOB
☐ DEVELOPMENT
☐ OTHER *(Specify)*

DATE — COMPLETED | TERMINATED

FORM 1734 ISSUED

FORM 2548 ANNOTATED

CERTIFICATE

TOTAL HOURS — ON CLOCK | OFF CLOCK

SIGNATURES

EMPLOYEE

SUPERVISOR

PAGE NO. | NO. OF PAGES

NAME

SSN

PS FORM 2432, JULY 1980

Exhibit 732.11--Form 2432

U.S. POSTAL SERVICE

RECORD OF TRAINING

NAME OF PERSON COMPLETING COURSE	TRAINEE POSITION TITLE	SOCIAL SECURITY NO
POSTAL INSTALLATION	TITLE OF COURSE	
NAME AND LOCATION OF TRAINING FACILITY	DATE COURSE COMPLETED	RATING OR GRADE

INFORMATION ON COURSE

NUMBER OF HOURS OF INSTRUCTION

MAJOR ELEMENTS OF COURSE

REMARKS

DATE	TITLE	SIGNATURE

PS Form 1734
Oct. 1970

Exhibit 732.12—Form 1734

PRIVACY ACT: To the trainee: The collection of this information is authorized by 39 U.S.C. 401, 1001. As a routine use, certain information may be disclosed to the training sponsors, to an appropriate law enforcement agency for investigative or prosecution proceedings, to a congressional office at your request, to OMB for review of private relief legislation, to any agency where relevant to hiring, contracting, or licensing, to a labor organization as required by the NLRA, and where pertinent, in a legal proceeding to which the Postal Service is a party. This information is needed in order to provide the requested training. Completion of this form is voluntary; however, this information so-listed is required to provide the requested training.

INSTRUCTIONS

A. **REFERENCES:** E & LR Manual Sections 731.6, 731.7, and 742 describe the kinds of training for which Form 1782 is required and the submission and distribution procedures.

B. **NON-POSTAL TRAINING:** Except for training by the Office of Personnel Management, item 1 *MUST* be deleted from the Form 1782 copy furnished to the training facility, for privacy reasons. Item 10 (unless required to show eligibility for training); and item 24 (costs for transportation, per diem, salary while training, and total) should also be deleted.

C. **NON-GOVERNMENT TRAINING:** For items 16 and 22, employee may be required to sign certain certificates. See E & LR Manual 743, Double Payment and Training of Over 4 Consecutive Weeks. If applicable, see 743, Contribution or Award.

Item 1. Enter the employee's complete Social Security Number. (See B above).

Item 2. Enter the Finance Number of the postal organization responsible for any official costs.

Item 3-4. Self-explanatory.

Item 5. Complete only if training facility is to furnish or arrange for housing.

Item 6. For technical postal training, enter the employee's precourse examination grade(s) in the appropriate blank(s):

A = Electronic Technician examination
B = Electro-Mechanical examination (2 part)
C = Electro-Mechanical examination (3 part)
D = SSPC Clerk-Technician examination

Item 7-11. Self-explanatory. (For item 10, see B above.)

Item 12. Official name of course.

Item 13. Course number (from the PST&DI General Training Catalog; if non-postal training, leave blank).

Item 14. If both day and night classroom training, check both boxes; if unknown, leave blank.

Item 15. Enter the estimated number of classroom hours to be spent in the training.

Item 16. Enter one of the following code numbers to indicate the facility providing the training:

1 = Management Academy
2 = Technical Center, Norman, OK
3 = Other (see C above)

Item 17. If code number 3 is entered in item 16, show the name and complete address (include ZIP code) of the training facility.

Item 18. Enter the dates training is scheduled to start and end.

Item 19. Enter one of the following code numbers to indicate the appropriate category of training (See E & LR Manual 711.3):

1 = Job training: training required by management to help improve employee's performance of present duties.

2 = Developmental training: training required by management to help prepare employee to perform different duties.

3 = Self-development training: training *not* required by management, but which management elects to sponsor to help employee voluntarily attain a career development goal consistent with USPS needs.

Item 20. Enter one of the following code numbers to indicate the principal purpose that the employee is to receive the training:

1 = Mission or program change.
2 = New technology.
3 = New work assignment.
4 = To improve present performance.
5 = To meet future job needs.
6 = To develop skills unique to USPS.
7 = Trainee for trade or craft.

Item 21. Enter one of the following code numbers to indicate the principal subject matter and emphasis of the training:

1 = Executive and Management.
2 = Supervisory.
3 = Legal, Medical, Scientific or Engineering.
4 = Administration and Analysis.
5 = Specialty and Technical.
6 = Clerical.
7 = Trade or Craft.

Item 22. Enter one of the following code numbers to indicate the source providing the training:

1 = U.S. Postal Service.
2 = Another federal government agency.
3 = Non-government organization (see C above).
4 = State or local government agency.

Item 23. Enter one of the following code numbers to indicate the type of training:

1 = Executive development.

2 = Supervisory development.

3 = Equal employment opportunity subject-matter training. (Note: Indicate in Comments whether employee is in a full-time EEO position or is serving in an ad hoc capacity.)

4 = None of the above.

Item 24. Enter actual or estimated cost for each applicable expense item (see B above). For postal training, *omit* tuition and fees, books and supplies. For all training, enter 5-digit account numbers and 3-digit sub-account number in the blocks provided.

Item 25. Enter the name and complete office address (including ZIP Code) of the nominating manager who signs in Item 26. Any bills or receipts are furnished to this manager. *Exception:* If Office of Personnel Management training, enter the name, address and agency station symbol of the servicing Postal Data Center as follows:

Postal Data Center 18000004
U.S. Postal Service
San Bruno, CA 94097

Postal Data Center 18000002
U.S. Postal Service
Minneapolis, MN 55470

Postal Data Center 18000003
U.S. Postal Service
New York, NY 10099

Items 26-28. The nominating manager and approving officials must be authorized to approve the training for the employee and to certify availability of and commit funds to this purpose. Their signatures constitute their certification that selection of employee is consistent with published USPS training policies, and that any prerequisites to the training have been met.

Items 29-32. For postal training, these items are completed by the postal training organization. For non-postal training, these items are completed by the PEDC manager based on evidence furnished by the employee or non-postal training organization. Copy of Form 1782 with this information is filed in employee's official personnel folder.

GPO 884-049

Exhibit 732.13 (p. 1)—Form 1782 Instructions

U.S. POSTAL SERVICE

TRAINING REQUEST, AUTHORIZATION, AND RECORD

←READ INSTRUCTIONS ON REVERSE BEFORE COMPLETING

1. SOCIAL SECURITY NO.

2. FINANCE NO.

EMPLOYEE

3. NAME *(Last, First, Middle Initial)*

4. DATE OF BIRTH

MONTH	DAY	YEAR

5. SEX *(For housing purposes)* ☐ MALE ☐ FEMALE

6. EXAMINATION GRADES

A.	B.	C.	D.

7. NAME OF WORK FACILITY AND ADDRESS *(Include ZIP Code)*

8. HOME ADDRESS *(Include ZIP Code)*

7A. OFFICE PHONE NO. *(Include Area Code)*

8A. HOME PHONE *(Include Area Code)*

9. POSITION TITLE

10. PAY SCHEDULE AND GRADE

11. NAME OF PERSON TO NOTIFY IN EMERGENCY

11A. PHONE NO. *(Include Area Code)*

COURSE

12. COURSE TITLE

13. COURSE NO.

14. TIME OF CLASS ☐DAY ☐NIGHT

15. CLASSROOM TRAINING HOURS

16. FACILITY CODE

17. NAME AND ADDRESS OF CODE 3 TRAINING FACILITY

18. TRAINING SCHEDULE

STARTING DATE			ENDING DATE		
MONTH	DAY	YEAR	MONTH	DAY	YEAR

19. CATEGORY CODE	20. PURPOSE CODE	21. SUBJECT CODE	22. SOURCE CODE	23. TYPE CODE

EXPENSES

24. EXPENSES

ITEM	ACTUAL OR EST COST	ACCOUNT NO.	SUB-ACCT NO.
TRANSPORTATION			
PER DIEM			
TUITION AND FEES			
BOOKS AND SUPPLIES			
SALARY WHILE IN TRAINING			
TOTAL →		▨	▨

25. BILLING ADDRESS

NAME AND OFFICE ADDRESS OF NOMINATING MANAGER *(If Office of Personnel Management Training, see Instructions)*

AUTHORIZATION

26. NOMINATING MANAGER	DATE	NAME AND TITLE *(Type)*	SIGNATURE
27. FUNDS CERTIFICATION	DATE	NAME AND TITLE *(Type)*	SIGNATURE
28. APPROVAL	DATE	NAME AND TITLE *(Type)*	SIGNATURE

RECORD

29. ACTUAL HOURS USED IN TRAINING

30. COMPLETION/WITHDRAWAL

31. COURSE GRADE

32. AUTHORITY VERIFYING COMPLETION OF TRAINING	DATE	NAME AND TITLE *(Type)*	SIGNATURE

COMMENTS

PS Form 1782
Nov. 1979

Exhibit 732.13 (p. 2)—Form 1782

U S POSTAL SERVICE INDIVIDUAL TRAINING RECORD	CRAFT AREA	GROUP NO.	POSITION NO.	POSITION TITLE/S City Letter Carrier
EMPLOYEE NAME	DATE ENTERED ON DUTY	DESIGN & ACTIVITY CODE	SOCIAL SECURITY NUMBER	

TRAINING REQUIREMENT[a]	CHECK TNG NEEDS (√)	REQUIRED INSTRUCTION GIVEN[b]		ADDITIONAL TRAINING PROVIDED		EMPLOYEE'S INITIALS AND DATE	SUPERVISOR'S SIGNATURE AND DATE	REMARKS
		ADMINISTRATOR'S INITIALS AND DATE	TNG TIME USED	ADMINISTRATOR'S INITIALS AND DATE	TNG TIME USED			
A .General Orientation— 1. PEDC Program #14501								
(a) All Topics (b) Specific Topics								
(List)								
B. Craft Orientation 1. PEDC Program #44501								
(a) Prog. Instruction Text, TD-9A								
(b) Audiovisual,TD-9B								
C. Job Skill-Motorized or Walking Carrier								
1. PEDC Program #44501 (a) Collection Duties								
(1) Prog. Instruction Text, TD-11A								
(2) Audiovisual, TD-11B								
2. Casing								
3. PEDC Program #14502 (a) Classes of Mail								
(1) Prog. Instruction Text, TD-38A								
4. PEDC Program #44504 (a) Accountable Mail								
(1) Prog. Instruction Text, TD-39B								
D. Job Skill-Motorized Carrier Only								
1. PEDC Program #44501 (a) Motorized Carrier								
(1) Prog. Instruction Text, TD-7A								
(2) Audiovisual, TD-7B								
E. Job Skill-Driver Trng (Conventional)								
1. Driver Orientation								

[a] If total training requirement is not completed, list topics covered on the reverse side

[b] When applicable, instructor shall note under "REMARKS" that additional training is needed

PS Form 2548-A
Apr. 1979

Exhibit 732.15—Form 2548

Note: This exhibit is representative of a series designed for specific craft areas. See Personnel Handbook P–23, *Orientation and Craft Skills Training*.

U.S. POSTAL SERVICE

CORRESPONDENCE COURSE APPLICATION

STUDENT'S SOCIAL SECURITY NO.	PROGRAM NO.	CORRESPONDENCE CODE NO. 1-	STUDENT'S NAME *(Last, First, Middle Initial)*
REGION *(Check)* ☐ NE ☐ E ☐ C ☐ S ☐ W ☐ HQ		STUDENT'S POST OFFICE *(City, State and ZIP Code)*	

REMARKS

COURSE ADMINISTRATOR

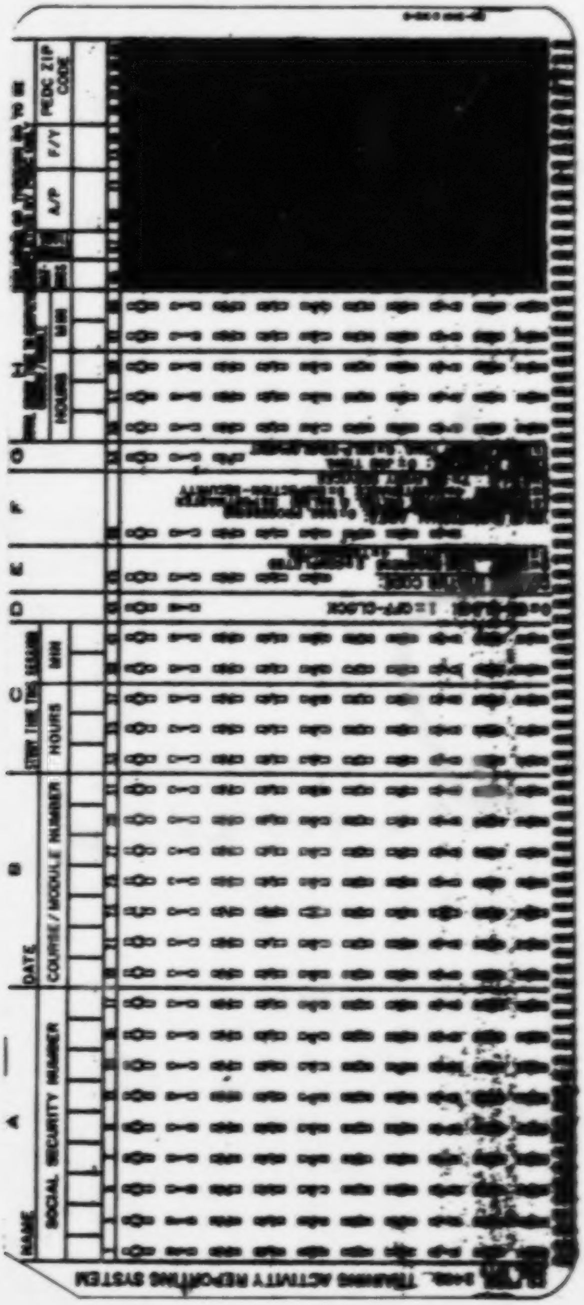
(Job or Development Training)

NAME	TITLE
BUSINESS ADDRESS *(No., Street, City, State and ZIP Code)*	
☐ JOB OR DEVELOPMENTAL TRAINING ☐	STUDENT'S *(Signature and Date)*
COURSE TITLE	CERTIFYING AUTHORITY *(Signature and Date)*
STUDENT'S PRESENT POSITION TITLE	PEDC MANAGER *(Signature and Date)*

The collection of information on this form is authorized by Title 39 USC 401.1001. Completion of this form is voluntary. This information will be used for consideration and enrollment in the selected training program or in deciding whether to authorize supplemental training time and may be disclosed to relevant Federal agencies regarding eligibility and suitability for employment, law enforcement activities where there is an indication of potential violation of the law, in connection with private relief legislation, to the Office of Management and Budget, to a Congressional office at your request, to a labor organization as required by the NLRA, to the Equal Employment Opportunity Commission when investigating an EEO complaint, and where pertinent in a legal proceeding to which the Postal Service is a party. If this information is not provided you may not receive desired training.

PS Form 3132
Aug. 1980

Exhibit 732.16—Form 3132



TRAINING ACTIVITY REPORTING SYSTEM

NAME

A

SOCIAL SECURITY NUMBER

B

DATE

COURSE / MODULE NUMBER

C

START TIME TRG SESSION

HOURS

MIN

D

1=OFF-CLOCK

E

F

G

H

HOURS

MIN

A/P

F/Y

PEDC ZIP CODE

Exhibit 732.33—Form 2482

—FORM FOR "ON-THE-CLOCK" TRAINING—
UNITED STATES POSTAL SERVICE
CORRESPONDENCE COURSE APPLICATION

Student's Social Security No.	Course No. 1-	Student's Last Name	First	MI

REGION (Circle One) NE EA CE SO WE HQ	Student's Post Office (City) (State) (Zip)

Student's Mailing Address
(Number and Street) (City) (State) (Zip)

Course Administrator
(Name) (Title) Business Address (City) (State) (Zip)

(For Official Use J Only)	Course Title Student's Present Position Title

APPLICANT'S SIGNATURE	SIGNATURE OF CERTIFYING AUTHORITY SIGNATURE OF PEDC MANAGER

The collection of information on this form is authorized by Title 39 USC 401,1001; completion of the form is voluntary. This information will be used for consideration and enrollment in the selected training program and may be disclosed to: revelent federal agencies regarding eligibility and suitability for employment; law enforcement activities where there is an indication of a potential violation of law; in connection with private relief legislation "To Office of Management and Budget;" to a Congressional office at your request; to a labor organization as required by the NLRA; to the Civil Service Commission when investigating an EEO complaint; and where pertinent in a legal proceeding to which the Postal Service is a party. If this information is not provided you may not receive desired training.

Use this form if course is "on-the-clock" for job or development training.

PS Form
May 1978 3132A

Exhibit 732.18a—Form 3132A

—FORM FOR SELF-DEVELOPMENT—
UNITED STATES POSTAL SERVICE
CORRESPONDENCE COURSE APPLICATION

Student's Social Security No.	Course No. 1-	Student's Last Name First MI

REGION (Circle One) NE EA CE SO WE HQ	Student's Post Office (City) (State) (Zip)
Student's Mailing Address (Number and Street) (City) (State) (Zip)	
CERTIFYING AUTHORITY (Name) (Title) Business Address (City) (State) (Zip)	
(For Official Use Only) **S**	Course Title
	Student's Present Position Title
APPLICANT'S SIGNATURE	SIGNATURE OF CERTIFYING AUTHORITY
	SIGNATURE OF PEDC MANAGER

The collection of information on this form is authorized by Title 39 USC 401,1001; completion of the form is voluntary. This information will be used for consideration and enrollment in the selected training program and may be disclosed to: revelent federal agencies regarding eligibility and suitability for employment; law enforcement activities where there is an indication of a potential violation of law; in connection with private relief legislation "To Office of Management and Budget;" to a Congressional office at your request; to a labor organization as required by the NLRA; to the Civil Service Commission when investigating an EEO complaint; and where pertinent in a legal proceeding to which the Postal Service is a party. If this information is not provided you may not receive desired training.

Use this form if course is for self-development, off-the-clock.

PS Form May 1978 3132B

Exhibit 732.18b—Form 3132B

U.S. POSTAL SERVICE **PST & DI TRAINING MATERIALS REQUEST**	EDPM CONTROL NUMBER EDPM INITIALS AND DATE

NAME OF PEDC MANAGER *(Type or print)*	SIGNATURE OF PEDC MANAGER	
PEDC ADDRESS	DATE REQUESTED	DATE SHIPPED

PROGRAM NUMBER*	EXACT TITLE OF PROGRAM*

TD-NO.	PRINTED MATERIALS	AMT.	SHPD	CODE	A/V UNITS	AMT.	SHPD.	CODE
	Administrative Guide							
	Programmed Instruction Text							
	Audio/Visual Work Book							
	Trainee Work Book							

OTHER ITEMS				

FOR PST & DI DISTRIBUTION CENTER USE ONLY

Your request has been completed except where annotated as follows:

CODE NUMBERS
1 .... UNDER DEVELOPMENT/REDEVELOPMENT
2 .... IN PRODUCTION/REPRODUCTION
3 .... AVAILABLE FROM YOUR AREA SUPPLY CENTER. USE FORM 7380.
4 .... ITEM IS VENDOR FURNISHED AND MUST BE PURCHASED LOCALLY
5 .... ITEM IS TEMPORARILY OUT OF STOCK
6 .... OTHER

SIGNATURE OF DISTRIBUTION CENTER REPRESENTATIVE

*As shown in PEDC Programs Publications. The TD numbers are inscribed on the printed materials being requested.

PS Form 2434
Mar. 1976

Exhibit 733.2—Form 2434

blank page

740 Non-Postal Training Procedures

741 Background

741.1 Explanation

Non-postal training is that provided by non-postal sources under a tuition or registration fee arrangement. (Training provided by non-postal sources under contract with the USPS is within the definition of *postal training* and is governed by the procedures in 730.)

741.2 General Payment Policies

.21 Salary Compensation. Compensation for required attendance at non-postal training is authorized as outlined in 438.2 and 717.

.22 Other Related Expenses. Expenses for tuition, fees, books, and supplies are paid by the Postal Service under the following conditions:

a. Non-postal training is categorized as job or developmental training as defined in 711.5.

b. Non-postal self-development training, as defined in 711.5, is determined by management to be of benefit to both the employee and the Postal Service from a career development standpoint, and funds are available. When self-development training goals cannot be identified with a resulting benefit to the Postal Service, no payment of expenses is authorized.

c. The training is not for the sole purpose of obtaining one or more academic degrees, even if an academic degree is required to qualify for appointment to a particular position. Each course which is part of a degree program is evaluated on its own merits—that is, each course must meet the criteria in *a* or *b*.

.23 Restrictions

.231 Basic. Employees do not have a right to have their non-postal training costs paid by the Postal Service unless the specific training is approved by an authorized official.

.232 Training Sponsor. The Postal Service does not pay non-postal training costs if a non-government training sponsor:

a. Discriminates because of race, color, religion, sex, national origin, or age in the admission or subsequent treatment of students.

b. Has legislative or campaign propaganda as a substantial part of its activities.

742 General Procedures

742.1 Form

Form 1782, *Training Request, Authorization, and Record* (Exhibit 732.13) is the basic document used to request, approve, finance, and record non-postal training. Even when non-postal training organizations require separate nomination forms, Form 1782 is completed in full and processed.

742.2 Request/Approval

.21 The employee's supervisor (nominating manager) prepares the Form 1782 and forwards it to the individuals authorized to certify and commit funds and to approve the employee's training. Signatures of the nominating manager and the approving officials on Form 1782 certify that the employee's selection is consistent with the published training policies of the Postal Service and that any prerequisites to the training have been met.

.22 Medical Training Requests for medical training by medical personnel (medical officers, head nurses, nurses, physical therapists, X-ray technicians, and other medical technicians) are to be submitted through the employee's supervisor to the appropriate approving official at the installation. All denials of such requests, and the reasons therefore, are to be forwarded to the Regional Medical Director, who may, for good cause, recommend approval through the Regional Director, Employee and Labor Relations.

742.3 Distribution of Copies

After obtaining the approvals, the nominating manager forwards Form 1782 to the PEDC Manager for review and distribution of copies as follows:

a. The original Form 1782 to the servicing Postal Data Center, Attn: Miscellaneous Disbursement Section, as instructed in 742.41.

b. One copy to the *training sponsor,* if the sponsor will be billing the Postal Service directly. Information on the employee's social security number, date of birth, grade, salary, and expenses for transportation and per diem is deleted from the copy of the Form 1782 furnished to the training sponsor, unless the sponsor requires one of these information items (e.g., grade) to determine the employee's eligibility for the training. This information should *not* be deleted if the Office of Personnel Management (OPM) is the training sponsor.

c. One copy is retained by the *PEDC Manager,* who, upon completion of the training, processes the Form 1782 as instructed in 742.5.

742.4 Payment Claims

.41 Tuition, Fees, Books, and Supplies

.411 General. Expenses for tuition, fees, books, and supplies for non-postal training are paid based on the approved Form 1782, supported by certified receipts and/or invoices. These expenses are not claimed on Form 1012, *Travel Voucher,* or Form 1164, *Claim for Reimbursement for Expenditures on Official Business.* (See 743 for special factors.)

.412 Reimbursement to Employees. If the employee has paid such expenses from personal funds, a copy of the approved Form 1782 is submitted to the servicing PDC with expense receipts or a copy of the cancelled check if receipts are not available. The nominating manager attaches a statement certifying that the claim is accurate and requesting reimbursement to the employee.

.413 Payment to Training Sponsor. Payment is made directly to the training sponsor as follows:

a. Other than Office of Personnel Management training. If the non-postal training sponsor accepts payment direct from the Postal Service, the sponsor furnishes an invoice to the nominating manager. The nominating manager attaches a statement certifying that the invoice is accurate and requesting payment to the training sponsor. The PEDC forwards the invoice, statement, and copy of approved Form 1782 to the servicing PDC, Attn: Miscellaneous Disbursement Section.

b. Office of Personnel Management Training. The PEDC immediately forwards a copy of the approved Form 1782 to the servicing PDC. The OPM submits the training bill directly to the servicing PDC, which (1) verifies the bill with the Form 1782 and (2) notifies the nominating manager when the bill has been paid. The nominating manager must promptly notify the PDC if the payment is erroneous.

.414 Advance Payments. If the sponsor requires payment of tuition and fees in advance of the training, the Form 1782 must be accompanied by a letter from the nominating manager stating this fact and requesting the advance payment. The PEDC forwards the letter and Form 1782 copy to the servicing PDC.

.42 Travel. Approved travel expenses (transportation and per diem) for participation in non-postal training are claimed on Form 1012, *Travel Voucher*, or Form 1164, *Claim for Reimbursement for Expenditures on Official Business*, as appropriate, and as authorized in Handbook M-9, *Travel*. As Form 1782 is not submitted with these forms, it is important that the budget official charge these expenditures to the proper travel for training account, to distinguish them from other travel expenses for official purposes.

742.5 Documentation

Employees furnish their PEDC managers documents of completion of the non-postal training, including certificates, grade reports, etc. The PEDC manager indicates completion of the training on the Form 1782 (Items 29-32) and attaches copies of the documents to the form for filing in the employee's Official Personnel Folder. If such evidence is not furnished, the PEDC manager verifies completion of the training and so indicates on Form 1782.

743 Special Factors

743.1 More Than 1 Year of Paid Training

An officer of the Postal Service approves payment for non-government training which causes an employee to have more than 1 year of such paid training within the past 10 years of government service. A year of paid training is defined as 2,080 training hours for which the employee's tuition or salary is paid.

743.2 Failure to Enroll In or Complete Approved Training

.21 Consequence. Employees failing to enroll in or complete approved training for reasons which are unacceptable to the approving official may be required to pay any cancellation fee required by the training facility and to reimburse the Postal Service for costs or liabilities incurred for tuition, fees, books, supplies, transportation, and per diem (but not for salary). A District or Regional Director, Employee and Labor Relations, or a USPS Headquarters officer may waive the requirement for such payment or reimbursement by employees.

.22 Procedures. The nominating manager promptly notifies those who have received copies of Form 1782 (742.3) of the employee's failure to enroll in or complete approved training, in order that:

a. PDC accounts may be adjusted.

b. The training agency does not bill the Postal Service for payment of tuition and fees.

c. The Postal Service and training agency may consider other candidates for the training.

743.3 Double Payment

.31 Policy. The Postal Service reduces the amount provided for training by any amount which an employee receives from other sources for the same purpose (including payments received under the GI Bill).

.32 Certification

.321 Conditions. Employees scheduled to take non-government training, either on or off the clock, exceeding 4 consecutive weeks must sign the certification in 743.322. These employees do not have to sign the certification if:

a. The training is being provided by a manufacturer as a normal service incident to initial purchase or lease of products under procurement contract, or

b. There are no expenses to the Postal Service other than salary.

.322 Text of the Certification

"I certify that, to the best of my knowledge, I will not receive payment from other sources (including payment under Veterans Education Assistance, Chapter 34 of Title 38, commonly called the GI Bill) for the training which will be provided by the U.S. Postal Service. I agree that, in the event I subsequently do receive and accept such payment from other sources, I will promptly notify the Postal Service. I understand and agree that the Postal Service may reduce the amount provided for training by any amount I receive from other sources for the same purpose."

.323 Procedure. Employees sign and date the certification prior to start of the training. The certification accompanies the Form 1782 which is submitted to the PDC (742.3a).

743.4 Contribution or Award

.41 Conditions for Acceptance. An employee may accept a contribution or award offered by a non-government organization to defray part or all of the non-postal training expenses under these conditions:

a. The organization offering the contribution or award is exempt from taxation under 26 USC 501(a). The Director of Internal Revenue of the district where the employee's installation is located can provide this information.

b. The contribution or award will not reflect unfavorably on the ability of the employee to perform his/her duties fairly and objectively.

c. The contribution or award will not place the employee, the Postal Service, or the government in a position of compromising integrity.

d. Acceptance of the contribution or award is compatible with the Code of Ethical Conduct contained in 660.

.42 Insufficient Payment of Expenses. If an authorized contribution, award, or payment to an employee for non-government training does not fully cover travel expenses, the Postal Service pays an amount considered sufficient to cover the balance of these expenses. The per diem rate is established to spread the uncovered part of the per diem over the period of training.

743.5 Training of Over 4 Consecutive Weeks

.51 Conditions. Employees scheduled to take non-government training on the clock which exceeds 4 consecutive weeks must sign a Continued Service Agreement. The employees do not have to sign the agreement if:

a. The training is being provided by a manufacturer as a normal service incident to initial purchase or lease of products under procurement contract, or

b. There are no expenses to the Postal Service other than salary.

.52 Text of the Agreement

"I agree that after leaving this training, I will continue serving in the U.S. Postal Service for a period equal to the number of hours of training provided, unless I am involuntarily separated. I understand that the obligated hours will begin at the start of business on my first workday after leaving the training. If I voluntarily leave the U.S. Postal Service before completing the obligated period and do not enter the service of another federal agency within 3 calendar days, I agree to reimburse the U.S. Postal Service on a pro rata basis for those expenses which are in addition to my salary, pay, or compensation. I understand that any amounts which may be due the U.S. Postal Service as a result of any failure on my part to meet the terms of this agreement may, unless recovery is waived by the U.S. Postal Service, be withheld from any monies owned me by the Postal Service or the Federal Government, or may be recovered by such other methods as are prescribed by law. This agreement does not in any way commit the Postal Service or the Federal Government to continue my employment."

.53 Procedures

.531 The employee is required to sign and date the Continued Service Agreement prior to the start of the training. The Agreement accompanies the Form 1782 which is submitted to the PDC (see 742.3a).

.532 If an employee gives notice of intending to leave the Postal Service voluntarily prior to completing the service agreed to in the Continued Service Agreement and does not plan to transfer to another government agency, the nominating manager advises in writing the official who approved the training on the Form 1782. The nominating manager indicates the reason for the failure to fulfill the agreement and either recommends that the employee be required to reimburse the Postal Service under the terms of the agreement, or that the agreement be waived because recovery of the money would be contrary to equity, conscience, or public interest. If the official who approved the training decides to require reimbursement, the employee notifies the PDC of the amount due by means of Form 1902, *Justification for Billing Accounts Receivable*, in duplicate. The PDC bills the employee on Form 1903-B, *Invoice and Statement (Other Than Payroll)*, and makes the necessary collection.

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750 Professional Associations

751 Definition

751.1 For purposes of this subchapter, the term "professional association" is used in its broadest meaning to include nonprofit, cooperative, voluntary organizations of individuals having a common background in a professional, technical, or managerial field of work, requiring knowledge and skills normally acquired only through extensive training or education. Academic credentials, an accrediting examination, or a State license may be prerequisite for membership. The main purposes of a professional association may include:

a. Exchanging information among members about new or improved developments and/or applications within the field of work;

b. Establishing and revising standards of preparation and experience for acceptance into the field;

c. Developing and publishing standards of professional performance and responsibility;

d. Furthering the career development of members.

751.2 A professional association may include members of several professions or disciplines.

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751.3 For purposes of this subchapter, the term "professional association" does not include a recognized labor, supervisory, or other managerial organization, as defined in the Postal Reorganization Act.

752 Policy

Membership and participation by Postal Service employees in recognized professional associations are encouraged, consistent with appropriate priority to the duties and responsibilities of their positions. Active participation can be a valuable experience, both in improving employees' performance in their present positions and in preparing them for greater responsibility in the profession. Through conferences, symposia, and committee assignments, employees are able to expand their expertise. Incentive for even better work performance can result from employee recognition gained through publication of journal articles, receiving awards for professional achievement, holding office in such associations, and speaking or presenting papers at association meetings. Professional recognition of the competence of postal employees tends to increase public confidence in the Service.

753 Payment of Membership Dues or Fees

753.1 Individual Membership

Postal Service funds are not authorized for the payment of *individual* membership dues or fees in professional associations, such being the personal responsibility of the individual employee in the interest of maintaining and promoting his or her own professional standing and development.

753.2 Institutional Membership

The policy prohibiting payment of individual membership dues and fees does not preclude Postal Service *institutional* membership in professional associations. The following are authorized to approve institutional memberships:

a. Executive Assistant to the Postmaster General, for departments reporting directly to the Postmaster General;

b. Senior Assistant Postmasters General, for departments and other organizational units reporting directly to them; and

c. Senior Assistant Postmaster General, Operations Group (with concurrence of the appropriate functional Senior Assistant Postmaster General), for Regional Headquarters and organizational units under the jurisdiction of Regional Headquarters.

753.3 Procurement of Memberships

The Assistant Postmaster General, Procurement and Supply Department is responsible for the coordination, procurement, and recording of institutional memberships. Approved requisitions for such memberships must include by name or position title the individuals designated to represent the Postal Service or the total number of individuals included in a membership.

753.4 Periodicals

In addition to USPS Library subscriptions, Postal Service funds are authorized for subscriptions to professional association periodicals in conjunction with institutional memberships, but only to those individuals, by name or position title, designated to represent the Postal Service in such memberships. Procurement is the responsibility of the Assistant Postmaster General, Procurement and Supply Department.

754 Attendance at Meetings and Conferences

754.1 Authorization

Whether or not the Postal Service has an institutional membership (see 753.2), employees may be authorized to attend meetings and conferences of a professional association, at Postal Service expense, provided:

a. attendance is for training purposes, as defined in Subchapter 740, or

b. attendance is related to the job or function in which they are employed and is expected to contribute to improved performance.

754.2 Full or Partial Attendance

.21 When authorized under 754.1, time in actual attendance at a professional meeting or conference is considered to be official business for compensation purposes, and leave is not charged to the employee. However, managers should review the program schedule or agenda and authorize official attendance only for that *portion* of the meeting or conference which meets the criteria in 754.1. EXCEPTION: an employee may be authorized to attend the *entire* meeting or convention if he is:

a. scheduled to make a speech, present a paper, or conduct or chair a meeting session;

b. an officer of the professional association, or

c. designated as an official representative of the Postal Service where the Postal Service has an institutional membership in the professional association.

.22 Where authority is granted for attendance at only a portion of a meeting or convention, the employee may request annual leave to attend the unapproved portions and, if leave is granted, must pay his own per diem for those unapproved portions.

754.3 Leave for Other Employees

Managers are encouraged to be liberal in approving annual leave (consistent with work priorities) for *other* employees who desire to attend a professional association meeting or convention at their own expense.

754.4 Selection for Attendance

Where several employees in the same organizational unit are in the same profession, the manager chooses which employee(s), if any, may attend the professional meeting or convention. Subchapter 710, which lists criteria for the selection of employees for training, may be applied.

754.5 Payment of Expenses

Handbook M-9, *Travel*, describes the conditions for payment of registration fees, travel, and subsistence costs for employees authorized to attend at Postal Service expense.

754.6 Approval of Registration Fees

Form 1782, *Training Request, Authorization, and Record*, must be approved before registration fees or expenses *other* than travel or per diem can be paid by the Postal Service. See Subchapter 740 for instructions on preparing Form 1782.

755 Privileges

At its discretion, local management may grant privileges to a professional association when it determines that such action would be beneficial to the Postal Service or would be warranted as a service to employees who are members of the association. Examples of such privileges are:

a. Use of authorized bulletin boards or intra-office communications for publicizing meetings.

b. Use of available facilities for holding meetings. (*Note:* this is an exception to the general policy prohibiting use of Postal Employee Development Centers by nonpostal employees.)

c. Permitting employees, in appropriate cases and on a reasonably limited basis, to use postal equipment or secretarial services for preparing papers to be presented at professional conferences or symposia or to be published in professional journals.

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810 Occupational Safety and Health

811 Administration

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811.1 Authority

The Postal Service is subject to Section 19 of Public Law No. 91-596, the Occupational Safety and Health Act of 1970 (OSHA). This law directs the Postmaster General to establish and maintain an effective, comprehensive occupational safety and health program consistent with the standards of the act.

811.2 Records Retention and Disposition

Retention & disposition instructions for records and forms referenced in 810-850 are in Exhibit 811.2 (end of 810).

811.3 Safety Philosophy

It is the position of the Postal Service that:

a. Any injury can be prevented. This goal is realistic, not just theoretical. Supervisors or managers having primary responsibility for the well-being of employees must fully accept this principle.

b. Management, which includes all levels through the initial level supervisor, is responsible for preventing accidents and personal injuries. Since the line organization is responsible for every operational activity, supervisors and managers must accept their share of responsibility for the safety and health of employees.

c. It is possible to safeguard against all operating exposures which can result in accidents and injuries. It is preferable to eliminate the sources of danger. However, where this is not practical, management must use protective measures such as machine guards, safety devices, personal protective equipment, and administrative actions.

d. All employees must be trained in proper work procedures and must be educated to work safely and to understand that they are responsible for doing so. Management is responsible for the adequate safety training and education of employees. However, all employees must be convinced that they are responsible for working safely and that in doing so they benefit not only their organization but themselves in a very real way.

e. It is good business from the standpoint of both efficiency and economy to prevent personal injuries on and off the job. In addition to humanitarian considerations, injuries cost money and reduce efficiency.

811.4 Safety Policy

It is the responsibility of management to provide safe and healthful working conditions in all postal-owned and postal-leased installations, educate all employees in safe work practices, and ensure that all employees work safely. Safety is an integral part of all managers' responsibilities.

811.5 Safety and Health Objectives

All employees must work together to ensure full compliance with the safety and health program objectives, which are:

a. Maintaining safe and healthful working conditions.

b. Adhering to proper operating practices and procedures to prevent injury and illness.

c. Understanding and observing all safety and health regulations.

811.6 Private Sector Workplace

Postal employees who perform postal duties in establishments of private employers are covered by the Postal Service Safety and Health Program. Safe and healthful working conditions must be assured by administrative controls, personal protective equipment, or withdrawal of the employees from the private sector facility if necessary to assure they are protected.

812 Responsibilities

812.1 Headquarters

.11 The Postmaster General is responsible for establishing and maintaining an effective, comprehensive occupational safety and health program, and for furnishing each employee employment and a place of employment free from recognized hazards that are likely to cause death or serious physical harm.

.12 Senior Assistant Postmasters General (SAPMGs) and officers reporting directly to the Deputy Postmaster General (DPMG) are delegated the authority and responsibility to ensure safe and healthful working conditions and practices within their functional areas.

.13 The Assistant Postmaster General, Employee Relations Department (APMG, ERD) is the 'Designated USPS Safety and Health Official' and is delegated the authority and responsibility to administer and evaluate the safety and health program.

812.2 Regional Offices

.21 Regional Postmasters General (RPMGs) are responsible for safety performance within their areas of responsibility.

.22 Regional Directors, Employee and Labor Relations, are responsible for managing the safety and health program in conformance with national policy and direction.

812.3 District Offices

District Managers are responsible for safety performance within their areas of responsibility.

812.4 Installation Heads

MSC/BMC managers, postmasters, and installation heads are responsible for the operational safety and for the safety performance of employees within their areas of responsibility. They must plan, organize, and control operations to eliminate and prevent operational safety errors and employee performance errors.

812.5 Middle Level Managers

Middle level managers are responsible for the safety and health program planning for their operations. This includes reviewing accident, injury, and hazard reports; monitoring operational on-the-job safety training; and evaluating supervisory safety performance. Middle level managers are to coordinate activities, including the follow-up correction of identified safety deficiencies, with other operational managers to assist in solving safety and health problems.

812.6 Supervisors

First line supervisors are responsible for implementing action plans, monitoring employees' safety performance, and preventing operational safety errors. Specific responsibilities are listed in the Handbook P-13, *Supervisor's Safety Handbook*.

812.7 Objectives/Action Plans

All managers with specific responsibility for the safety and health of subordinates will have specific fiscal year safety and health objectives, with accompanying action plans for their accomplishment. Action plans must list specific activities which will be taken to reduce accidents and injuries and improve safety awareness.

813 Safety and Health Staff Responsibilities

813.1 Headquarters

The Office of Safety and Health will assist the APMG, ERD, in the administration and evaluation of the safety and health program by monitoring and improving the program and related safety and health policies, procedures, and standards. To ensure that safety is integrated into all postal operations, the Office of Safety and Health will provide safety expertise and staff support to other offices, departments, and regions. The Office of Safety and Health will coordinate and work with other federal agencies, organizations, and professional groups on matters of safety and health.

813.2 Regions

The Regional Occupational Safety and Health Branch will assist the RPMG in the implementation of national safety and health policies, programs, and directives. This includes providing technical guidance to managers and safety staff at the regional, district, and MSC level; and evaluating the safety and health program throughout the region.

813.3 District Offices

The District Director, Employee and Labor Relations, is responsible for coordinating and monitoring activities related to a comprehensive occupational safety and health program. The Director, through the MSC Directors, Employee and Labor Relations, provides functional and policy guidance to safety personnel and managers.

813.4 Management Sectional Centers and Bulk Mail Centers

.41 Safety Personnel. Safety personnel are responsible for developing, coordinating, and monitoring activities related to a comprehensive safety and health program. While the specific responsibilities of safety personnel may vary depending on the size of the organization, the number of locations, and the type of operations, the major function is that of a technical advisor and consultant to line management. In coordination with the injury compensation and medical staff, and through the analysis of accidents statistics, hazardous condition reports, and related data, safety personnel identify and appraise accident and loss-producing conditions, practices, and trends.

.42 Collateral Duty Safety Personnel. A collateral duty safety person (a manager if possible) must be assigned for those offices in which there are no full-time safety positions. Responsibilities of collateral duty safety personnel are similar to those of full-time safety personnel.

814 Employee Rights and Responsibilities

814.1 Rights

Employees have the right to:

a. Become actively involved in the Postal Service's Safety and Health Program, and to be provided a safe and healthful work environment.

b. Report unsafe and unhealthful working conditions.

c. Consult with management through appropriate employee representatives on safety and health matters, i. e., program effectiveness and participation in inspection activities where permissible.

d. Participate in the safety and health program without fear of restraint, interference, coercion, discrimination, or reprisal.

814.2 Responsibilities

It is the responsibility of all employees to:

a. Comply with all safety and health regulations, procedures, and practices, including the use of approved personal protective equipment.

b. Keep the work area in a safe and healthful condition through proper maintenance of property and equipment and to immediately report safety hazards and unsafe working conditions.

c. Keep physically and mentally fit to meet the requirements of the job.

d. Immediately report any accident or injury in which they are involved to their supervisors.

e. Drive defensively and professionally; extend courtesy in all situations; and obey all state, local, and postal regulations when driving a vehicle owned, leased, or contracted for by the Postal Service.

815 Executive and Management Safety and Health Committees

815.1 Structure and Responsibilities

.11 National Executive Safety and Health Committee. The National Executive Safety and Health

Committee, chaired by the PMG, and consisting of appropriate representatives from Headquarters and regions must meet at least quarterly. (See Management Instruction EL-810-82-1, *Management Safety Organization*, for specific committee membership.) This committee is responsible for establishing national goals and objectives. To evaluate the effectiveness of the safety and health program, the committee will review the program and its implementing procedures, and may establish, as necessary, subcommittees to study and make recommendations concerning selected safety and health issues.

.12 Regional Executive Safety and Health Committees. Regional executive safety and health committees, chaired by RPMGs, and consisting of district managers and appropriate regional representatives, must meet at least quarterly. These committees are responsible for following objectives established by the National Executive Safety and Health Committee and/or for establishing regional objectives which will achieve national goals. The regional committees will review safety and health programs and procedures, and establish subcommittees, as necessary, to study particular safety problems and provide recommendations for solutions.

.13 District Executive Safety and Health Committees

District executive safety and health committees, chaired by district managers, and consisting of MSC/BMC managers and district directors, must meet at least quarterly. Their primary responsibilities are to establish district objectives to achieve regional and national goals, and to develop action plans to achieve those objectives. When necessary, the committees will develop additional action plans to improve situations not addressed at a higher level. In addition, the committees must continually assess the quantity and quality of safety and health staffing at the MSC/BMC level, and must monitor the quality and frequency of safety inspections within the district.

.14 MSC/BMC Management Safety and Health Committees

These committees, chaired by MSC/BMC managers, are composed of MSC/BMC directors, postmasters of large associate offices, and MSC safety, injury compensation, and medical personnel, as appropriate. They meet as often as needed, but at least once every other month. Primary responsibilities are to implement objectives established at a higher level and to develop additional objectives to improve the local safety and health program. To achieve these objectives, the committees will review and discuss accident and injury trends, accident reports, and local safety inspection reports to identify the major safety and health problems. Based on these identified problems, the committees will develop and implement action plans -- with assigned responsibilities -- and measure their effectiveness. When objectives are not being met, action plans must be altered accordingly.

.15 Other Levels

Safety and health management committees need not be established at levels below the MSC, but safety and health must be a standard agenda item for regular staff meetings.

816 Joint Labor-Management Safety and Health Committees

Joint labor-management safety and health committees must be established and must function in accordance with applicable collective-bargaining agreements.

817 Training and Education

817.1 Management

.11 All supervisors must receive safety and health training.This training will be provided by local offices, regions and/or Headquarters.

.12 MSC directors, MSC managers, and above will be provided an orientation which discusses their responsibility for:
a. Safety performance.
b. Injury compensation.
c. Safety and health program elements.

817.2 Safety and Health Staff

Safety and health personnel must be provided sufficient training to enable them to carry out their basic duties and to fulfill their roles as advisors and consultants to management. To maintain their technical proficiency, safety and health personnel are encouraged to further their safety education at post-secondary educational facilities and to participate in professional safety and health related organizations, including local Field Federal Safety and Health Councils. Specialized training, not available within the Postal Service, may be authorized in accordance with 740.22.

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817.3 Joint Labor-Management Safety and Health Committee

Each member of a local committee will receive an orientation by the Postal Service which will include:
a. Responsibilities of the committee and its members.
b. Basic elements of the safety and health program.
c. Identification of hazards and unsafe practices.
d. Explanation of reports and statistics to be reviewed and analyzed by the committee.

817.4 Employees

All employees must receive a general safety and health orientation and sufficient on-the-job training to enable them to follow safe work practices, to recognize hazards, and to understand the benefits to be gained by following safe work practices. Such training must also include applicable safety rules and regulations, including any local job safety analysis for tasks assigned.

817.5 Refresher Training

Industrial and motor vehicle refresher training programs must be developed and provided as needed. This training must be initiated by installation heads. Such programs must be used for correcting improper work practices before an accident results or for improvement training following an accident.

817.6 Special Emphasis Training

.61 Special emphasis training programs must be developed and initiated by Headquarters, regions, districts, and installation heads, as appropriate, to reduce the principle causes of accidents and injuries, and occupational illnesses.

.62 In installations where employees handle or transport hazardous materials, the installation head will establish a program of promoting safety awareness through communications or training, as appropriate. Such a program must include (but is not limited to) the following elements:

a. Informational postings or pamphlets, or articles in postal publications such as regional bulletins.

b. Distribution of Publication 52, *Acceptance of Hazardous, Restricted or Perishable Matter*, to employees whose duties may require acceptance of or handling of hazardous or perishable items.

c. On-the-job training of employees whose duties may require the handling or transportation of hazardous or perishable items.

817.7 New Or Additional Equipment/ Techniques Training

Training must be provided when new or additional equipment or techniques are introduced which may, if not properly utilized, adversely affect safe and healthful working conditions.

817.8 OSHA Poster 130

Each facility must post *OSHA Poster 130* in a conspicuous place. This poster explains relevant provisions of the Postal Service's Safety and Health Program.

818 Safety and Health Program Budgeting

All organizational levels must provide funding to maintain an effective and comprehensive safety and health program. Such budgeted items must include, but are not limited to:

a. Sufficient personnel to properly implement and administer the program at all levels, including necessary administrative costs such as training, travel, and personal protective equipment.

b. Abatement of unsafe or unhealthful working conditions related to equipment, operations, facilities, or vehicles.

c. Safety and health sampling, testing, and diagnostic and analytical tools and equipment, including laboratory analyses as deemed appropriate.

d. Any necessary contracts to identify, analyze, or evaluate unsafe or unhealthful working conditions and operations, as deemed appropriate.

e. Safety awareness and promotional programs.

f. Technical information documents, books, standards, codes, periodicals, and publications.

g. Medical supplies and services.

819 Performance Evaluations

In any evaluation of performance or potential, provisions must be made to include the achievement or failure of managers, supervisors, and/or employees in the performance of their safety and health responsibilities. Evaluations must not be based solely on the number of and seriousness of accidents and injuries experienced, but also on how effectively the opportunity for accidents to occur was reduced.

820 Accidents, Program Evaluations, Safety Inspections

821 Accident Investigation, Reporting, and Analysis

821.1 Objectives

Identify circumstances that caused or contributed to an accident so action plans can be developed to prevent similar accidents.

821.2 Investigation

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.21 Managers and supervisors are responsible for investigating all accidents promptly, reporting them accurately, and determining their cause(s). Management should consult with safety personnel when accident causes cannot be readily determined.

.22 In order to have first-hand knowledge of every accident occurring in their operation, supervisors must make thorough investigations that include at least the following:

a. Interview with the employee(s) to determine what caused the accident, why it happened, and what the employee(s) and supervisor feel could have been done to prevent it.

b. Prompt inspection of the accident site to determine what conditions (equipment, work area, etc.) contributed to the accident.

c. Interview with witnesses and fellow workers.

d. Examination of the most recent *Job Safety Analysis* (Form 1783) for the task involved in order to determine if changes are required.

821.3 Reporting

.31 Form 1769, *Accident Report*

.311 General Requirements. The manager or supervisor of the employee or operation involved must report all accidents on Form 1769, *Accident Report*, within 24 hours. Completion of the form is **Mandatory**, regardless of tort claim action or the requirements of the Federal Employees' Compensation Act. Information submitted to the Office of Workers' Compensation Programs (OWCP) on Forms CA-1 and CA-2 must be identical with that on Form 1769.

.312 Definitions. For the purposes of this section (821.3) the following definitions apply:

a. A fatality is any work-related injury or illness which results in death, regardless of the time between the injury and death, or the length of illness.

b. A lost workday case is any work-related injury or illness severe enough to render an employee unable to perform any duties on any workday after the day of injury or diagnosis of illness.

c. A lost-time, limited-duty case is any work-related injury or illness severe enough to cause an employee to be unable to work the number of daily or weekly straight time hours that the employee would normally work on any day after the day of injury or diagnosis of illness.

d. A no-lost workday case is any work-related injury or illness which does not result in a fatality, lost workday, limited-duty, first aid case, or termination or permanent reassignment case.

e. A no-lost-time, limited-duty case is any work-related injury or illness which results in a limited-duty assignment but does not reduce the number of hours the employee would normally work.

f. A first aid case is any immediate, one-time treatment of minor injuries which do not ordinarily require the services of a physician or other registered professional, even though such treatment may be administered by them.

.313 Numbered 1769. Form 1769 must be numbered (see Form 1769 completion instructions for numbering sequence) and submitted through the MSC to the postal data center (PDC) when any of the following situations occur:

a. A traumatic injury to a postal employee (fatality; lost workday; lost-time limited-duty; no-lost workday; no-lost-time, limited-duty; or first aid injury) if a Form CA-1 has or will be submitted to the Office of Workers' Compensation Program (OWCP).

b. An injury or fatality to a postal customer on postal premises.

c. A motor vehicle accident which results in death, injury, or combined (postal and non-postal) damage of $500 or more, regardless of who was injured (if anyone) or what property was damaged.

d. Damage of $500 or more to postal property or to property of customers or general public, regardless of whether an injury was involved.

e. Fire damage of $100 or more to postal property.

.314 Controverted Claims If a traumatic injury is controverted and OWCP sustains the controversion, submit a copy of Form 1769, annotated 'delete', and a copy of Form CA-1040, through the MSC to the PDC for deletion of the accident report from the record.

.315 Unnumbered 1769. If none of the situations described in .313 occur, prepare the Form 1769 for local use and file it in alphabetical order (by employee's last name) by fiscal year. See .316 following for exception.

.316 Exception: Occupational Illness/Disease. Prepare a 1769 for occupational illness or disease cases, including heart attacks, when a CA-2 or a CA-6 is submitted to OWCP, but **DO NOT ISSUE A NUMBER**. Retain at the local installation until adjudicated by OWCP. If the case is adjudicated in favor of the employee, number the 1769 and forward through the MSC to the PDC. Do this regardless of the lapse of time between the date of illness and the date of adjudication.

.317 Changes to 1769 Information. Correct erroneously recorded data by submitting a copy of the 1769, annotated 'ammended', through the MSC to the PDC. Circle the items that need to be corrected and enter the correct data.

.32 Form 1772, *Accident Log.* Each office, i.e., MSC, associate office, station, branch, etc., must maintain an accident log, Form 1772, by fiscal year of all reported accidents. Enter accident information within 5 working days after receiving Form 1769. Make entries in sequential order and number as necessary.

.33 1769 Review

.331 The supervisor's immediate manager will review each Form 1769 as to its accuracy and application, follow up to ensure that positive action has been taken to prevent similar occurrences, and endorse in Item 57.

.332 The installation head or designee must review to see if positive action has been taken or is planned, and endorse in Item 58.

.333 MSC safety personnel must ensure that accident causes are identified, that the action taken is appropriate, and endorse in Item 59.

821.34 Annual Summary of Postal Injuries and Illnesses

.341 The Postal Service will compile an annual summary of occupational injuries and illnesses of reporting field offices having 100 man-years or more of employment. The summaries must be based on Forms 1769 received at the Postal Data Centers (PDCs). OSHA Form 102F must be used for this purpose.

.342 The Postal Service must furnish the Department of Labor with a copy of the annual summaries no later than 45 calendar days after the end of the calendar year.

.343 Completed OSHA Forms 102F will be supplied annually to all offices with 100 man-years or more of employment in the regular workforce. Copies of this form must be posted for a minimum of 30 consecutive days in a conspicuous place or places at every facility within the office.

821.4 Analysis

.41 Purpose. Accident analysis is vital in accident prevention programs. Reports and statistical analyses help determine the principal cause factors needing correction.

.42 Responsibility. Regions, districts, sectional centers, BMCs, and installations must develop methods to identify accident prevention program needs.

.43 Elements. The elements of statistical analysis should include, but are not limited to:

a. Specific tasks being performed at time of accident/injury.
b. Operation, equipment, tools, and machinery involved.
c. Specific event that resulted in accident/injury.
d. Nature and severity of injury.
e. Part of body involved.
f. Faulty equipment or design.
g. Unsafe condition.
h. Unsafe acts or practices.
i. Violation of rules, procedures, or instructions.
j. Inadequate training or lack of safety rules/procedures.

.44 Form 1764, *Accident Analysis Summary.* MSCs should use Form 1764 to analyze numbered and unnumbered accidents and determine local program needs.

821.5 Privacy Act Considerations

.51 Accident records contain information about individuals. As such, they may be handled and disclosed only in accordance with the Privacy Act and implementing instructions. (See 821.313).

.52 An individual's accident records and related correspondence are maintained within the Postal Service as the privacy system *entitled USPS 120.035, Personnel Records - Employee Accident Records.*

822 Fatalities/Serious Accidents

822.1 Definitions For Reporting and Investigations

The term serious accident includes:

a. Any occupational accident which is fatal to one or more employees.
b. Any occupational accident which results in the hospitalization of five or more employees.
c. Any occupational illness which results in the death of an employee.
d. Any occupational accident involving nonpostal persons which results in a fatality or the hospitalization of five or more persons.
e. Occupational accidents not immediately reportable but which result in the death of an employee within 6 months of the date of the accident.
f. Any occupational injury to an employee or nonpostal person involving mutilation, amputation, or loss of vision in one or both eyes.
g. Any occupational accident involving property damage (combined postal and nonpostal) estimated to exceed $100,000.
h. Any occupational accident which results in hospitalization due to chemical exposure.

822.2 Preliminary Serious Accident Report

The installation head must report every serious accident within 24 hours through channels to the Regional Postmaster General, who must immediately report the accident to the Assistant Postmaster General, Employee Relations Department. Within 48 hours, the Office of Safety and Health, Headquarters, must report it to the Office of Federal Agency Safety and Health Programs. At a minimum, the report must include the following information concerning the accident:

a. Post office or facility - city, state and Zip Code.
b. Name, title, and phone number of installation head. State whether this official is personally acquainted with the situation.

c. Brief description of accident including:

*(1)*Date and time of accident/death. **Note**: Make a supplementary report if a death occurs after the initial report.

*(2)*Accident location.

*(3)*Name, social security number, title, age, sex, years of service, and extent of injuries to postal employee(s).

*(4)*Name, age, sex, address and extent of injuries to nonpostal persons involved.

*(5)*Type of work employee was performing when the accident occurred.

*(6)*Vehicle, equipment, or property damaged (postal or nonpostal). If vehicle - make, model, and type. State whether seatbelt was used.

*(7)*Probable cause(s) of accident.

*(8)*Police charges, if any and if known.

*(9)*Name, title, and level of supervisor on duty.

*(10)*Dates and nature of safety training received by the supervisor within the last 2 years.

*(11)*Provide dates and nature of safety training received by the employee within the last 2 years. The only safety talks that should be listed are those relevant to the accident.

*(12)*Prior 5-year Postal Accident Record for the employee.

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823 Investigation Boards

823.1 Fatalities

.11 Composition

.111 A job-related fatality must be investigated by a management board appointed by the RPMG. The board must be appointed within 24 hours of the accident and must include:

a. One branch (or higher unit) manager from the regional office who has a functional relationship to the activity(s) involved in the accident; this person will serve as chairman.

b. One district director who has a functional relationship to the activity(s) involved in the accident.

c. One regional safety and health staff person.

d. One postal medical officer from the same MSC in which the accident occurred (or from the same district in which the accident occurred if there is no medical officer in the MSC) to serve as a consultant.

.112 In addition, one employee representative from the local safety and health committee, when requested by the appropriate Union, will be permitted to accompany the board in its investigation of industrial, noncriminal accidents.

.113 The Office of Safety and Health, Headquarters, may provide investigative assistance when such assistance is determined to be appropriate by the APMG, ERD.

823.2 Other Serious Accidents

.21 Composition

.211 Every serious accident other than one involving an employee fatality must be investigated by a management board appointed by the district manager. The board must be appointed within 24 hours of the accident and must include:

a. One district director who has a functional relationship to the activity(s) involved in the accident; this person will serve as chairman.

b. One MSC director -- from an MSC other than the one in which the accident occurred -- who has a functional relationship to the activity involved in the accident.

c. One regional safety and health staff person must be afforded an opportunity to participate. If there is no regional participation, the safety manager from the same MSC in which the accident occurred must participate.

d. One postal medical officer from the same MSC in which the accident occurred (or from the same district if there is no medical officer in the MSC) to serve as a consultant.

.212 In addition, when requested by the appropriate Union, one employee representative from the local safety and health committee will be permitted to accompany the board in its investigation of industrial, noncriminal accidents.

.213 The Office of Safety and Health, Headquarters, may provide investigative assistance when such assistance is determined to be appropriate by the Assistant Postmaster General General, Employee Relations Department (APMG, ERD).

823.3 Procedures

.31 The Board. Within 15 days of appointment, the Board must submit a report of its findings and recommendations to the Regional Postmaster General (RPMG) (in the case of a fatality) or the district manager (in the case of other serious accidents), with a copy provided to the installation head.

.32 Installation Head. Within 10 days after receiving the Board's report, the installation head must forward through channels to the RPMG a statement describing the corrective actions taken.

.33 RPMG. The RPMG must send a copy of the Board's findings and recommendations and a copy of the installation head's statement of corrective action to the APMG, ERD.

.34 Upon the written request of any member of the National Joint-Labor Management Safety and Health Committee, the APMG, ERD, will release a copy of the report to that member. However, those portions of the report prohibited from disclosure by law or regulation must not be released.

823.4 Board Responsibilities

.41 Board responsibilities are to:

a. Discover the causes of the accident.

b. Make sound recommendations to prevent accident recurrence.

c. Review the quality of action taken by supervisors where the accident occurred.

.42 Use this report format for the Board's findings and recommendations.

a. Detailed description of accident.

*(1)*Employee's relationship (location) to physical surroundings.

*(2)*What was the employee doing and how was it being done?

b. Statements.

*(1)*Statement of employee.

*(2)*Statement of witness(es).

*(3)*Statement(s) of other person(s) interviewed.

c. Pertinent findings

*(1)*Did the employee do or fail to do something that contributed to the accident? Include unsafe acts, violation of safety rules, lack of knowledge, or lack of training.

*(2)*What did others involved do, or fail to do, that contributed to the accident?

*(3)*The main reason behind what was done or failed to be done that contributed to the accident.

*(4)*Deficiencies and unsafe or adverse conditions in the work environment that contributed to the accident.

*(5)*If applicable, reason for the existence of the deficiencies in the work environment.

d. Quality and type of action taken by management after the accident occurred.

*(1)*Immediate supervisor's investigation (See ELM 821.2 for responsibilities.)

*(2)*Upper-level managers (responsibilities include ensuring all other employees involved in similar work are instructed, revising work procedures or practices when required, and ensuring Board's recommendations are implemented when appropriate).

e. Actions recommended by the Board to prevent future occurrences of similar accidents?

.43 Board responsibilities and actions do not relieve those immediately involved of their responsibility for accident investigation and prevention.

824 Program Evaluations

824.1 Purpose

The basic purpose of program evaluations is to measure the effectiveness of the U.S. Postal Service Safety and Health Program throughout each organizational level. A program evaluation of compliance and implementation of program elements included in this chapter and components of the Safety and Health Program included in other handbooks, manuals, and management instructions must be conducted annually by Headquarters, regions, districts, and management sectional centers.

824.2 Headquarters

Program evaluations will be conducted by Headquarters at various organizational levels when deemed appropriate.

824.3 Regions

Regions must conduct annual evaluations in every district and in every independent post office under regional control that is not covered by district evaluations.

824.4 Districts

Districts must conduct annual evaluations in every MSC and BMC in conjunction with the annual inspection conducted by the District Director, Employee & Labor Relations.

824.5 Management Sectional Centers

MSC safety personnel must conduct annual evaluations in associate offices with a complement of 50 or more employees. When warranted, offices with less than 50 employees may be evaluated.

824.6 Evaluation Report

An evaluation report of findings and recommendations must be sent within 15 days of the evaluation to the installation head of the organization being evaluated. Within 30 days after receipt of the evaluation report, the installation head must submit a written abatement plan for each program deficiency to the senior official of the organization conducting the evaluation. A copy of the evaluation report and abatement plans must be sent to the next higher organizational level for review.

824.7 Annual Summary

An annual summary based upon OSHA-issued guidelines and covering the Postal Service's Safety & Health Program must be submitted to the Secretary, U.S. Department of Labor.

825 Safety and Health Inspections

825.1 Purpose

.11 The basic purpose of inspection is to detect potential accident causes and thereby reduce the risk of accidents and injuries. Inspection categories are:

a. General Conditions - housekeeping, lighting, walking and working surfaces.

b. Specific Hazards - machinery, equipment, guarding, chemicals, and tools.

c. Fire Prevention - extinguishers, drills, brigades, and smoking.

d. Motor Vehicle - training, vehicle condition, and operation.

e. Work Practices - improper and unnecessary manual lifting, inefficient or dangerous work layouts and procedures, and improper use of equipment.

f. Industrial hygiene and environmental health.

.12 Form 1784, *Safety and Health Inspection Checklist* will be used while conducting inspections.

825.2 Regional Inspections

.21 Regional safety and health personnel will conduct inspections of installations when warranted.

.22 Inspection teams should be composed of regional and field personnel from safety, maintenance, and line management.

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825.3 District Inspection

.31 The District Director, Employee and Labor Relations, must conduct an annual inspection in the main facility of each MSC and BMC. Such inspection must include all postal facilities at the same location as the main facility, but should not include the stations or branches of such main facility, unless circumstances justify such inspections.

.32 Inspection teams will consist of the District Director, Employee and Labor Relations; a safety specialist/manager from an MSC other than the one to be inspected; and local personnel from safety, maintenance, and line management.

.33 The union representatives from the local safety and health committee may participate on inspections referred to in 825.2 and this section (825.3), providing the union represents employees at the main facility of the MSC or BMC being inspected. The number of union representatives will be determined by appropriate collective-bargaining agreements.

825.4 Offices With 100 Man-Years or More

.41 This section (825.4) refers to any facility (BMC, GMF, VMF, station, branch, etc.,) with 100 man-years or more of employment in the regular work force.

.42 A semi-annual inspection of all installations with 100 or more man years of employment in the regular work force must be conducted by safety personnel. For main facilities of MSCs or BMCs, the annual inspection referred to in 825.3 is one of the semi-annual inspections referred to in this section (825.4). An inspection of a facility as outlined in 825.2 will be considered one of the semi-annual inspections referred to in this section (825.4). For associate offices, one of the semi-annual inspections will be conducted by MSC safety personnel, and the other will be conducted by safety personnel (full-time or collateral) assigned to that office.

.43 Inspection teams will consist of personnel from safety, maintenance, and line management.

.44 The union representatives from the local safety and health committee may participate in inspections referred to in this section (825.4), provided that the union represents employees at the installation and provided that the Union representative is domiciled at the installation to be inspected. If such union representative to the local safety and health committee is not domiciled at the installation to be inspected, and if such Union represents employees at the installation, such Union may designate a representative domiciled at the installation to be inspected to participate on the inspection. The number of union representatives will be determined by appropriate collective-bargaining agreements.

825.5 Offices With Less Than 100 Man-Years

.51 This section (825.5) refers to any facility (station, branch, associate office, etc.) with less than 100 man-years of employment in the regular work force.

.52 An annual inspection of each installation with less than 100 man-years of employment in the regular work force must be conducted. In associate offices with 50 or more man-years of employment in the regular workforce, inspections must be conducted by MSC safety personnel in conjunction with the annual safety and health program evaluation. In associate offices with less than 50 man-years of employment in the regular workforce, inspections must be conducted by collateral-duty safety personnel assigned to that office. In stations or branches of an MSC main facility with 50 or more man-years of employment in the regular workforce, inspections must be conducted by safety personnel assigned to the MSC main facility.

.53 Inspection teams will consist of personnel from safety and line management.

.54 One union representive from the local safety and health committee, selected on a rotational basis by the Unions, may participate on the annual inspection of each installation with less than 100 man-years of employment in the regular work force, where such committee exists in the installation being inspected. In those installations that do not have a safety and health committee, the inspector must afford the opportunity for a bargaining-unit employee from that installation to accompany him during these inspections. If requested, this bargaining-unit employee should be selected, on a rotational basis, by the various exclusive bargaining representatives in that installations.

825.6 Inspection Procedures

.61 Authority

.611 Postal Service safety personnel are authorized:

a. To conduct inspections without delay.

b. To have access to all available information relevant to the occupational safety and health of the workplace to be inspected, including Form 1767, *Report of Hazard, Unsafe Condition or Practice*, Form 1769, *Accident Report* Form 1772, *Accident Log*, Form 1784, *Safety Inspection Checklist*.

c. To interview employees privately if necessary.

d. To consult with a reasonable number of employees during the inspection if there are no authorized representatives of employees.

e. To deny the right of accompaniment to any person whose participation interferes with a fair and orderly inspection.

.612 During the course of an inspection, any employee must be afforded an opportunity to bring to the attention of the inspection team any unsafe or unhealthful working condition which the employee believes exists in the workplace. In order to speak with the head of the inspection team, employees must first request permission from their immediate supervisor. Such requests must not be unreasonably denied.

.62 Methods. Safety personnel conducting inspections must be technically competent to recognize and evaluate hazards of the work environment and to suggest general abatement procedures. All safety personnel must be provided sufficient training and/or experience and the equipment necessary to conduct a thorough inspection of the workplace involved. Safety personnel must conduct environmental sampling and take photographs where necessary.

.63 Opening Conference. Members of the inspection team must conduct an opening conference with the installation head and the Union representatives who are to participate on the inspection. The purpose of this conference is to explain the purpose and scope of the inspection and to inform the installation head that the inspection team will, in the course of inspection, consult with employees and managers as the need occurs.

.64 Rules

.641 Members of inspection teams must comply with all safety and health rules at each installation, including the use of protective clothing and equipment. The conduct of inspections must not result in unreasonable disruption of operations.

.642 Immediately upon identifying an imminent danger, (See 825.71a. for definition), the inspector must inform the official in charge of the workplace. The official in charge of the workplace must undertake immediate abatement of the dangerous condition and the withdrawal of employees who are not necessary for the abatement. In the event the official in charge of the workplace needs assistance to undertake full abatement, that official will immediately notify, through channels, the Regional Postmaster General, who will provide assistance for the abatement effort. Safety and health committees and union representatives of the employees affected must be informed of all relevant actions.

.643 If a serious hazard is identified, the installation head must immediately initiate corrective action.

.65 Closing Conference. At the conclusion of a scheduled inspection, safety personnel must confer with the installation head and the union representative(s) who accompanied the inspection team and advise them of deficiencies disclosed by the inspection. Anyone at the conference may bring to the inspector's attention any pertinent information regarding conditions in the workplace.

825.7 Deficiencies

.71 Hazard Classifications

a. Imminent Danger. A situation in which there is a reasonable certainty that a danger exists that could cause death or serious physical harm immediately or before the danger can be eliminated through normal enforcement procedures.

b. Serious Danger. A situation in which there is a substantial probability that death or serious physical harm could result.

c. Non-Serious Danger. A situation that does have a direct relationship to job safety and health but probably would not cause death or serious physical harm.

.72 Reporting. List deficiencies on Form 1784C, *Safety Deficiency Report*, include the standard or requirement violated, a description of the deficiency, and the classification of hazard, and send to the MSC manager postmaster no later than 10 days after the completion of the inspection. Send copies to the employee representative(s) who participated in the closing conference and/or the local safety and health committee.

.73 Abatement Committee

.731 Within five 5-days after receipt of Form 1784, an abatement committee must be established and meet to assign priorities and specific abatement dates within the limits set by the inspection team. The installation head must chair this committee. Committee members must include:

a. Installation Head
b. Safety Representative
c. Maintenance Representative
d. Mail Processing Representative
e. Customer Services Representative (when applicable)
f. Industrial Engineers (when applicable)
g. Procurement Officer (when applicable)

.732 Where practicable, correct deficiencies within 20 days of receipt of the report. When 20 day abatement cannot be made, develop an abatement plan containing the following:

a. Name of installation.
b. Location of unsafe condition.
c. Description of unsafe condition.
d. Length of time the condition has existed.
e. Explanation of the circumstances of the delay in abatement.
f. A Management Action Plan (MAP) which will be used for resolution of the problem.
g. A summary of steps being taken in the interim to protect employees from being injured by the unsafe or unhealthful working condition. Affected employees must be informed of the provisions of the plan.

.733 All deficiencies determined to require more than 20 days to correct, must be reported immediately, along with the abatement plan, to the District Manager, with a copy to the Regional Director, Employee and Labor Relations.

.734 All deficiencies determined to require more than 45 days to correct must be reported immediately, along with the abatement plan, through management channels to the Regional Postmaster General, with copies to the Deputy Postmaster General and the Assistant Postmaster General, Employee Relations Department.

.735 Send copies of Form 1784, with abatement dates, to the head of the inspected installation for posting and necessary action.

.736 Once an abatement plan has been submitted as required by .732 - .734 above, any changes in the abatement plan will require the submission of a new plan in accordance with the provisions of this section (.732-734).

.737 When an unsafe or unhealthful working condition requires action by the General Services Administration or other Federal lessor agency, the installation head must contact the lessor agency and request corrective action.

.738 The procedures for correcting unsafe or unhealthful working conditions must include timely reinspection, where practicable, to determine whether the corrective action taken has proven to be effective. Reinspection should be conducted by the same personnel (i.e., full-time or collateral duty safety personnel or maintenance personnel) who performed the original inspection. Posting of the followup inspection results is not required.

.74 Posting. Immediately upon receipt, that part of the Form 1784-C which applies to the specific unsafe condition must be conspicuously posted at or near the location of such condition until it has been abated, or for 3 working days, whichever is longer. In addition, a notice must be posted if any special procedures are in effect. Where, because of the nature of the facility's operations, it is not practicable to post the report at or near each such place, such report must be posted in a prominent place where it will be readily observed by all affected employees. Copies of Form 1784 will be maintained at the MSC safety office.

825.8 Form 1767, *Report Of Hazard, Unsafe Condition, Or Practice*

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.81 Purpose. Form 1767, *Report Of Hazard, Unsafe Condition Or Practice*, provides a channel of communication between employees and management that assures a prompt analysis and response with corrective action to reports of alleged hazards, unsafe conditions, or unsafe practices. It is designed to encourage employee participation in the Postal Service Safety and Health Program.

.82 Availability. Maintain a supply of Forms 1767 in the workplace in a manner that provides employees with both easy and (if an employee so chooses) anonymous access.

.83 Procedures and Responsibilities

.831 Employee Any employee or representative of employees who believes that an unsafe or unhealthful condition exists in the workplace has the right and the responsibility to file a report of such condition on Form 1767 with the immediate supervisor and request an inspection of the alleged conditions by completion of Form 1767. Any employee desiring anonymity should file Form 1767 directly with the installation's safety personnel who will immediately return the report to the employee's supervisor for necessary action. In such cases, safety personnel must not disclose the name of the individual making the report.

.832 Supervisor.

a. The immediate supervisor will promptly (within the tour of duty):

*(1)*Investigate the alleged condition.

*(2)*Either initiate immediate corrective action or make appropriate recommendations.

*(3)*Record those actions or recommendations on Form 1767.

*(4)*Forward the original 1767 and one copy to the next appropriate level of management (approving official).

*(5)*Give the employee a copy, signed by the supervisor, as a receipt.

*(6)*Immediately forward the third copy to the Safety Office.

b. It is the supervisor's responsibility to monitor the status of the report, at all times, until the hazard is abated.

.833 Approving Official. The approving official must initiate action to eliminate or minimize the hazard. If this results in the submission of a work order, attach the original 1767, and forward through channels, to the Manager, Plant Maintenance. If the approving official determines that there are no reasonable grounds to believe such a hazard exists, the employee must be so notified in writing within 15 calendar days. (Safety personnel must assist in this determination when requested.) If the hazard was abated through actions of the approving official, the employee must be notified so in writing, and the original 1767, with a statement of actions taken, must be forwarded to the Safety Office.

.834 Safety Personnel.

Safety personnel must log and sequentially number all hazard reports received on Form 1773, *Hazard Report Log*. Safety personnel must also review all Forms 1767 for accuracy, completeness, and followup, as necessary.

.835 Maintenance. Maintenance must notify the approving official when any Form 1767 maintenance related work order has been completed.

.836 Installation Head. If it is determined on the basis of a hazard report that an imminent or serious danger exists, the installation head must take immediate corrective action as outlined in 825.64

.837 Tenants In Postal Service Buildings. Maintenance must maintain a log of reports of unsafe or unhealthful conditions submitted by tenants of postal service buildings. Such log must include:

a. Date of receipt of report.
b. Building and/or specific area.
c. Complaint.
d. Action Taken.
e. Final resolution.

826 Announced Or Unannounced Inspection Of Postal Facilities By OSHA Personnel

826.1 Purpose

To provide guidance when compliance/safety and health officers (CSHOs) or compliance safety and health officers industrial hygienists (CSHO-IHs) from the Occupational Safety and Health Administration conduct announced or unannounced inspections or investigations of postal facilities. All such inspectors will be referred to as CSHOs in this part (826).

826.2 Scope

These procedures apply to all facilities in which postal employees work. In postal-owned or leased facilities, it is the responsibility of the Postal Service to assure compliance with OSHA requirements. In leased facilities this responsibility continues to exist, regardless of lease arrangements.

826.3 Authority

It is postal policy to maintain safe and healthful working conditions and to cooperate fully with OSHA inspectors. Therefore, upon presenting appropriate credentials, CSHOs will be permitted to enter, without delay, any postal facility for inspection or investigation purposes.

826.4 Cooperation

Postal officials are to cooperate fully with OSHA CSHOs. If, during an inspection, the postal official determines that the CSHO may believe that a violation exists because the CSHO does not have complete information about a particular condition, the postal official should attempt to make the CSHO aware of all relevant additional information.

826.5 Verification Of Credentials

The senior postal officials, or designee, is to review all CSHOs' credentials and may request verification from the OSHA area office. If the CSHOs' credentials are in order, entry need not be delayed pending verification.

826.6 Procedures

.61 Opening Conference

.611 OSHA may conduct its inspections without prior notice. CSHOs generally conduct inspections during normal working hours. On arrival at a postal facility, the CSHO should ask to meet with the ranking postal offical. The senior postal official must meet promptly with the CSHO.

.612 The CSHO will hold an opening conference to inform the Postal Service of the purpose, scope, and conduct of the inspection. The senior postal official will attend the opening conference and may invite other postal officials from the facility as appropriate. If the installation has a full-time safety professional on staff, that person should attend the opening conference. Employee representatives also should attend the opening conference; Union representatives from the local safety and health committee should participate in accordance with 825.44 and 825.54.

.613 The CSHO may provide copies of laws, standards, regulations and promotional materials. The CSHO is required to furnish to the installation head any copy of an employee's report(s) of unsafe or unhealthful conditions which generated the inspection. If a complainant has asked to remain anonymous, OSHA is bound by regulations to respect that request. In such instances, the CSHO must still provide a list of the unsafe conditions alleged.

.614 The CSHO can be expected to outline the general scope of the inspection, including employee interviews, physical inspection of the workplace, records review, and the taking of photographs or samples. If the CSHO asked to see the minutes of safety and health committee meetings, they should be made available.

.615 The CSHO should be questioned during the opening conference so that the walkaround inspection can be planned as to route sequence, notifications to production supervisors, technical support, etc. Planning of a route sequence should be considered a guideline only, as the CSHO may investigate any other apparent hazards observed en route to a particular area.

.616 After the opening conference, the senior postal official is to immediately notify, via telephone or in person, the MSC manager, the district manager, and the Regional Director, Employee and Labor Relations, of OSHA's presence and the scope of the inspection.

.62 Records Review

.621 The CSHO is authorized to review all records that are required to be maintained under the OSH Act. Examples of the types of records that can be reviewed include: Form 1772, *Accident Log*, and Form 1769, *Accident Report*. In certain instances, the CSHO may ask to review the medical records of some employees in order to verify compliance with the medical surveillance recordkeeping requirement of an OSH standard. If the CSHO wishes to record or copy any medical records, a written access order must be presented. Access to medical records must be coordinated through the designated medical officer for the facility being inspected. If the facility has no medical officer, access to the records should be coordinated through the health unit nurse. If there is no health unit, requests for records should be coordinated through the area medical officer or the regional medical director.

.63 Participation

.631 Management Participation During Inspections The senior postal official, or designee, must accompany the CSHO during the walkaround portion of the inspection. If there is a full-time safety professional at the installation, that person must also accompany the CSHO on the walkaround. Locations that do not have a full-time safety professional should have a safety professional from the management section center participate in the inspection, if practicable. Collateral-duty safety personnel should also participate in the inspection. At least two management personnel are to be with the CSHO whenever possible. Management representatives must not sign any statements or affidavits.

.632 Employee Participation During Inspections

a. Union representatives from the local safety and health committee must be given the opportunity, in accordance with ELM 825.44 and 825.54, to accompany CSHOs during inspections. The CSHO may also consult with other employees who are not part of the inspection team and may request to interview them in private or with their union representatives during the walkaround.

b. Employee representatives will be on-the-clock whenever the inspection is conducted during the employee's regular work schedule. Employees will not be compensated for time spent accompanying CSHOs outside of their work schedule.

.64 Methods

.641 Walkaround Inspection

a. Normally, the CSHO will limit the inspection to the items listed in the employee's report of unsafe or unhealthful conditions. The scope of the inspection may, however, extend to other areas of the postal installation. During the walkaround inspection, the CSHO will examine each item mentioned in the employee's report of unsafe or unhealthful conditions. The senior postal official, or designee, must take extensive, detailed notes during the walkaround. At this time, the CSHO may take photographs of any apparent violations observed. If a camera is available at the postal installation, the postal official should attempt to duplicate as closely as possible each photograph taken by the CSHO and should specify in the detailed notes what each photograph shows. The CSHO may also use measuring devices or instruments to determine compliance with the OSH Act. The postal official must record the type of instrument used and the readings obtained.

b. The CSHO can dismiss from the inspection team, at any time, anyone interfering with the orderly conduct of the inspection. If a management representative is dismissed, the occurrence must be thoroughly documented. Another management representative must be immediately named to complete the inspection.

.642 Health Sampling The CSHO, in order to determine whether a violation of health standards exists, may need to obtain samples, including fullshift (8-hour tour) sampling. Such sampling may require the wearing of sampling devices by employees. Postal officials are to cooperate with the CSHO and are to encourage cooperation by employees. The senior postal official must immediately notify, via telephone or in person, the MSC manager (if appropriate), the district manager, and the Regional Director, Employee and Labor Relations, whenever sampling or any other type of industrial hygiene test is conducted or planned.

.643 Immediate Correction Of Hazards During an inspection, a CSHO may point out conditions which may be considered to be violations of the OSH Act. Reasonable efforts should be made to correct the condition immediately, if possible.

.65 Closing Conference

.651 After completing the review of records, any employee interviews, and the walkaround inspection, the CSHO will conduct an exit interview with the senior postal official. If the postal installation has a full-time safety professional, that person must attend this closing conference. If any safety professionals have been called in from an MSC, they must also attend the closing conference, along with any collateral duty safety personnel. Employee representatives from the walkaround inspection must also attend. The senior postal official, or designee, is to take detailed notes on all alleged deficiencies, and may offer clarifying comments or explain extenuating circumstances, as appropriate.

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.652 During this interview, all conditions or practices which the CSHO believes may constitute a safety or health violation(s) will be reviewed. The senior postal official is to inform the CSHO that any report of unsafe or unhealthful working conditions should be sent to the MSC manager/postmaster. If the facility being inspected is an independent installation not reporting to an MSC, the CSHO should be requested to send the report to that installation head. Following the closing conference, the senior postal official must immediately notify, through channels, the Regional Director, Employee and Labor Relations, that the inspection has been completed and should summarize OSHA's findings. A written report summarizing OSHA's findings must be transmitted, through channels, to the Regional Director, Employee and Labor Relations, within 48 hours of the closing conference.

826.7 Violations

.71 Report Of Unsafe Or Unhealthful Working Conditions

.711 Following an inspection, if violations have been observed, OSHA will issue a *Report of Unsafe or Unhealthful Working Conditions*. This Report will give OSHA's assessment of the severity of the violations, reference the section of the OSHA standard in violation, and specify a date by which each violation must be corrected. Upon receipt of such a report, a copy is to be immediately forwarded through channels to the Regional Postmaster General (RPMG).

.712 In instances concerning violations that have national implications, the RPMG is to immediately forward the Report to the Deputy Postmaster General, and to the Assistant Postmaster general, Employee Relations Department (APMG, ERD). In such cases, the APMG, ERD will coordinate the response back to OSHA.

.72 Posting of *Reports of Unsafe Or Unhealthful Working Conditions*

See 825.74 for posting instructions. A copy of the Report should also be given to the employee representatives who participated in the inspection.

.73 Abatement

.731 Correction of Alleged Violations

a. A *Report of Unsafe or Unhealthful Working Conditions* will include a specific date by which each finding of violation must be corrected. The length of the period allowed will vary based on the type of hazard involved, the severity of risk to employees, and OSHA's assessment of the difficulty of correcting the hazard. OSHA may require the Postal Service to confirm that abatement steps have been taken, especially in regard to health hazards. When an extended period of time is needed to correct a hazard, interim protection must be provided for employees, and an abatement plan must be submitted to OSHA by the date shown on the notice for that hazard. The plan should explain how and by what date the hazard will be corrected and what interim protection is being provided. Before being submitted to OSHA, the plan must be coordinated through the Regional Director, Employee and Labor Relations. The unions must be notified if the proposed abatement plan requires both interim and long-term solutions.

b. All correction of hazards must be done at the earliest practical date. When the violations have been corrected, the senior postal official of the installation must prepare a letter to the area director of the OSHA office issuing the report, describing in detail the actions taken to correct each violation. This letter with a copy of the *Report of Unsafe or Unhealthful Working Conditions* must be submitted, through channels, to the Regional Postmaster General and sent to OSHA within 14 calendar days of the established abatement date.

.732 *Extension of Abatement Date* Whenever a finding of violation cannot be corrected within the assigned abatement period, an extension of the abatement period must be requested. This will require sending OSHA a letter requesting a modification of abatement date. The letter must include an abatement plan. The letter and plan should include the following information:

a. The specific additional correction time necessary and the reason(s) additional time is needed.

b. Steps taken to safeguard employees during the abatement period extension.

c. Actions taken, with dates, showing efforts made to achieve correction.

d. Certification that the plan was posted and copies provided to the affected employee representatives, including an indication of the date upon which such posting and notification were made. Requests for extensions should be directed to the area director of the OSHA office issuing the report. Such requests must be coordinated with, and a copy sent to, the Regional Director, Employee and Labor Relations.

.733 *Informal Conference* If Postal Service officials disagree with any alleged violations in the *Report of Unsafe or Unhealthful Working Conditions* or with the abatement dates, they may request an informal conference with OSHA's area director. The MSC manager/postmaster may request such an informal conference only after the dissenting position(s) has been thoroughly evaluated. The Regional Director, Employee and Labor Relations, must be notified immediately about any informal conferences; also, provisions must be made for the MSC safety manager and/or a regional safety representative to attend. OSHA's area director has the authority to withdraw violations, change the severity ratings of violations, or modify abatement dates if Postal Service officials can present valid reasons for the area director to do so. OSHA may elect to invite the employee representatives to the informal conference.

826.8 Reinspection

In order to assure that deficiencies have been corrected, OSHA may conduct a reinspection. This is usually done when violations were found which OSHA classifies as serious or when OSHA has not received, within 14 days following the abatement date, a letter detailing how each violation was corrected. Reinspections are to be handled in the same manner as initial inspections.

826.9 Regional File of OSHA Inspections

The Regional Director, Employee and Labor Relations, or designee, is to maintain a file on each OSHA inspection. The file is to include the following:

a. A copy of any employee complaint letter or list of complaint items, if the complainant wished to remain anonymous.

b. Any *Report of Unsafe or Unhealthful Working Conditions*.

c. The names of all CSHOs, management officials and employees' representatives participating in the inspection.

d. Notes and other documentation, such as photographs, made by local management.

f. All correspondence relative to correction of hazards, abatement plans and procedures.

830 Motor Vehicle and Industrial Safety

Public Library, Newark, N.J.

831 Motor Vehicle Safety

831.1 Objective

The objective of the motor vehicle safety program is to reduce the amount of property damage and human suffering caused by vehicle accidents, while maintaining an efficient delivery and collection system.

831.2 Vehicle Maintenance

All installation heads having motor vehicles under their control must develop and administer controls necessary to ensure that the provisions outlined in Handbook M-52, *Fleet Management*, are followed.

831.3 Driver Selection, Training, and Supervision

.31 Driver Selection. Postal personnel responsible for hiring, road testing, supervising, and providing medical services must ensure that only qualified appliants are hired and/or retained for driving positions. The determination of 'qualified' must be based upon:

a. Past driving record.

b. The ability to avoid accidents, traffic violations, vehicle abuse, schedule delays, and discourtesy, as demonstrated in the preemployment road test.

c. Physical fitness.

d. The provisions outlined in handbook M-52, *Fleet Management*, 214, and Handbook P-11, *Personnel Operations*, 320 & 460

.32 Driver Training. Initial driver training, periodic driver improvement training, and special emphasis training must be designed to develop and maintain a professional, defensive driving workforce. (Defensive driving is defined by the National Safety Council as 'driving to prevent accidents in spite of the incorrect actions of others and adverse conditions'.) Such training must regularly be reinforced by the firstline supervisor. The careful selection of personnel to act as driving instructors is essential to assure proper attitude, enthusiasm, interest, and understanding of the subject matter. Training requirements outlined in Handbook P-23, *Orientation and Craft Skills Training*, & Handbook M-52, *Fleet Management*, 216, must be followed.

.33 Driver Supervision

.331 Supervisory Responsibility. Special responsibility for safe motor vehicle operations, as outlined in Handbook P-13, *Supervisor's Safety Handbook*, must be followed. To enforce a high standard of professional driving performance, supervisors must complete Form 4584, *Observation of Driving Practices*, semiannually, and at other times deemed appropriate, for each driver under their direct supervision. Supervisors must familiarize themselves with defensive driving techniques so that they know what the common driving errors are, how they can be detected, and how they can be prevented.

.332 Driver Responsibility. Drivers must obey traffic laws, drive defensively and professionally, and extend courtesy in all situations. Specific driving responsibilities are outlined in Handbook M-52, 215 and 217, and in Handbook P-13.

831.4 Accident Analysis

Supervisors and safety personnel must analyze accident data to determine the hazards of vehicle operations and the primary causes of vehicle accidents, and develop action plans to eliminate them.

832 Industrial Powered Equipment

Employees authorized to operate industrial-powered equipment must be provided operator training, as outlined in M-52, 216 . They must follow the operating rules and regulations outlined in Handbook P-13 and/or manufacturer's operating instructions.

833 Industrial Safety

833.1 Standards and Engineering

Safety standards and sound safety and fire protection engineering techniques must be used in planning, building design, construction, modification, repair, procurement, development of new equipment, and facility layouts. This includes employee work environment, equipment, tools, supplies used, and the material on which work is performed. Specifically, safety personnel must interact with procurement and engineering personnel to ensure that safety engineering principles are integrated into all activities of the Postal Service. Management must ensure compliance with all occupational safety and health standards affecting the Postal Service.

833.2 Supplemental Standards

When deemed necessary, the Postal Service may adopt more stringent, alternate, or supplemental standards. However, these alternate or supplemental standards must be approved by the Secretary of Labor. The Office of Safety and Health, Headquarters, will coordinate all such requests with the Department of Labor.

833.3 Joint Operations of Federal Agencies/Private Sectors

Where postal employees engage in joint operations and report to work at other Federal agencies, the standards of the host agency apply. Similarly, when other federal or state employees work at postal facilities, standards adopted by the Postal Service apply. When private sector employees work at postal facilities, private sector laws apply.

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840 Safety Awareness Programs

841 Program Promotion

Public Library, Newark, N.J.

841.1 Objectives

The purpose is to promote interest, increase safety awareness, and gain acceptance of safe work practices. The aim is to secure maximum employee participation through the effective use of media and individual or group recognition. The cooperation of the local safety and health committee in the promotion of safety is to be encouraged.

841.2 Local Needs

Effective promotional programs must be based on a thorough study of local needs. Accurate planning and analysis are essential to achieve program objectives.

841.3 Media

Regions, districts, sectional centers, and installations should procure or develop and distribute posters, publications, films, bulletins, pamphlets, newletters, displays, etc., based on current and projected accident trends. The display of safety posters distributed by Headquarters must be kept current. Budgeting for safety promotional needs must be included in program planning. Individual safety contests, awards, and incentive programs must be approved by the Regional Postmaster General before implementation in accordance with ELM 638.

842 National Safety Awards and Contests

842.1 Participation

All eligible installations should participate in:

a. The National Safety Council's Safe Driver Award Program.

b. The National Safety Council's National Fleet Safety Contest.

c. The National Safety Council's Injury Prevention Contest.

d. The Annual Fire Prevention Contest.

842.2 Safe Driver Award Program

.21 Recognition

The National Safety Council Safe Driver Award is the recognized trademark of professional drivers who have proved their skill in avoiding traffic accidents.

.22 Performance

.221 The award plan is more than a means of rewarding drivers with good safety records. The guidelines in the National Safety Council Safe Driver Award Rules establish what is expected of professional drivers in the way of safety performance: The ability to operate a motor vehicle without having a preventable (by National Safety Council definition) accident.

.222 These guidelines constitute a yardstick by which drivers can measure their own performance and by which supervisors can measure the performance of individual drivers. When this standard of performance is clearly understood by both drivers and supervisors, it becomes a logical, fair, and workable basis for effective safety supervision. These rules are not intended as the yardstick of disciplinary action.

.23 Participation. Postal installations having one or more postal employees operating postal-owned, hired, leased, contract, or private vehicles in conducting postal business must participate in the Safe Driver Award Program. All postal personnel operating motor vehicles on official business are eligible to participate in the Safe Driver Award Program under the rules for administering the National Safety Council's Safe Driver Award Plan (Postal Service edition). Contractors, contractor's personnel, supervisors, and personnel who drive sporadically or only during seasonal periods, holidays, vacations, etc. are excluded.

.24 Preventability. After a vehicle accident, a determination must be made by a designated postal official or the Safe Driver Award Committee as to whether the accident was considered preventable for the purpose of evaluating eligibility for the National Safety Council Safe Driver Award.

.25 Safe Driver Award Committee

.251 Establishment. Installations having five or more employees with driving duties must establish a committee composed of the following:

a. Overall supervisor of activity or service.

b. Local safety representative.

c. Installation driver having the longest accident-free period (may be limited to drivers at stations or branches, or drivers within a craft, if this facilitates functioning of the committee).

d. A fourth ad hoc member is to be added to the committee whenever the committee is evaluating an accident involving a driver from a craft other than that of the permanent craft committee member.

.252 Small Installations. In small installations with fewer than five drivers, the postal official in charge will perform the duties of the committee.

.253 Purpose. The committee evaluates accident causes for educational puposes to prevent future occurrences of similar accidents. The committee must not develop punitive or disciplinary measures.

.254 Duties. Using the National Safety Council Safe Driver Award Rules as the only guide, the committee must meet to:

a. Review each accident report and related material.

b. Determine if drivers continue to be eligible for safe driving awards during the current year.

c. Record decisions on Form 1768, *Safe Driver Award Committee Decision*. Before a committee decision is rendered, the overall supervisor of activity or service must discuss the facts with the driver involved.

d. Provide the driver a full explanation of the committee's decision, including applicable safe driver award rules for future compliance and appeal rights. This must be done within fourteen calendar days following an accident.

.254 Regional Review. When the local Safe Driver Award Committee is unable to decide whether or not an accident is preventable, or when the committee has a tie vote, or when the driver appeals the committee's decision, the case must be submitted to the Regional Occupational Safety and Health Branch Manager for review. (Note: See the National Safety Council's Safe Driver Award Rules for guidelines.)

.26 Privacy Act Considerations

.261 Safe driver award records contain information about individuals. As such, they may be handled and disclosed only in accordance with the Privacy Act and its implementing instructions.

.262 An individual's award records and related correspondence are maintained within the Postal Service as the privacy system entitled *USPS 120.170, Personnel Records -- Safe Driver Award Records*.

843 Safety Incentive Programs

843.1 Concept

Safe working conditions and appropriate safety equipment are not always enough to prevent on-the-job accidents. Effective safety programs also need employee participation, team effort, and sustained safety consciousness. Safety incentive programs can motivate employee involvement and safety consciousness through awards or contests which incorporate the use of recognition and rewards.

843.2 Selected Programs

Increased safety incentive may be accomplished with programs that recognize driver-of-the-month or year, safety captain-of-the-month or year, best safety slogan, fewest violations during safety inspections, demonstrated safety consciousness, best accident record, million mile awards, etc. Creative development of new and interesting programs, (designed to capture and stimulate interest) should be encouraged. Sharing of ideas through cooperative exchange with other agencies or local private industry is encouraged.

843.3 Administration

The Installation Head or designee will conduct, control, and be responsible for approved driver and industrial safety incentive programs. See ELM 638 for implementation procedures.

843.4 Presentation Ceremonies

Whenever possible, installation heads should provide publicity and an appropriate ceremony for each incentive award.

850 Fire Prevention and Control

851 Responsibilities

Public Library, Newark, N. J.

851.1 Installation Heads

Installation Heads are responsible for implementing a fire safety program for the protection of people, mail, and postal property. This program must include (but is not limited to) training, education, inspection, enforcement, drills, brigades, emergency action plans, and fire prevention plans as required in this subchapter and in accordance with 29 CFR 1910, Subpart L.

851.2 Managers

Managers/Supervisors are responsible for the safety of their operations and employees. They must be constantly on the alert for fire hazards and take immediate corrective action for any unsafe practice or condition. If immediate corrective measures are beyond their capabilities, managers must take immediate interim precautions to assure the safety of employees and the protection of the workplace. Conditions that cannot be corrected immediately must be reported to a higher authority for corrective action. Managers must ensure that proper housekeeping practices are maintained and that all employees are trained in the evacuation and emergency procedures of the installation, including building emergency alarm systems.

852 Procedures

852.1 Inspections

Quarterly fire inspections must be conducted in all Postal-owned and Postal-leased installations. Fire inspections must be documented on Form 1784, *Safety and Health Inspection Checklist*, and may be scheduled to coincide with semiannual or annual safety inspections. These inspections must be conducted by qualified managers and supervisors that have been trained by safety and/or fire protection personnel. Training must include the conduct of inspections, identification of unsafe practices causing fires, and the methods of eliminating or correcting hazards. The installation head is encouraged to seek assistance from and permit local fire officials to conduct fire inspections and prefire planning programs. Local authorities must be notified immediately upon discovery of fire hazards that are not under postal jurisdiction, but which affect postal personnel, mail, or property.

852.2 Corrective Action

Deficiencies identified in Forms 1784 must be reviewed by the Abatement Committee and corrected as outlined in 825.73.

852.3 Emergency Action Plan

.31 Each postal facility having more than ten employees on the rolls must maintain an emergency action plan. Safety personnel may provide advice and technical assistance, where needed, in the development of such plans. The plan must include designated actions which management and employees are to take to ensure the safety of employees and the protection of property from fire and other emergencies.

.32 Include the following elements, as a minimum, in the Emergency Action Plan:

a. Emergency escape procedures, graphic illustrations of emergency escape route assignments, and location of fire alarms and extinguishers.

b. Specific procedures to be followed by employees who remain to operate or shut down critical building systems before they evacuate.

c. Procedures to account for all employees after emergency evacuation has been completed.

d. Details of any special assignments.

e. The preferred means of reporting fires and other emergencies based upon local procedures and requirements.

f. Names or regular job titles of persons or departments who can be contacted for further information or explanation of duties under the plan.

.33 Post parts *a* and *f* of this plan in a prominent location.

852.4 Fire Prevention Plan

.41 Each installation head managing a postal facility with more than 10,000 square feet must maintain a written fire prevention plan. Installation heads managing smaller facilities may maintain written fire prevention plans when warranted by the type of operations conducted. Safety personnel may provide advice and technical assistance, where needed, in the development of such plans.

.42 Include the following elements, as a minimum, in the Fire Prevention Plan:

a. A list of the significant, potential workplace fire hazards; handling, storage, and control procedures; potential ignition sources (such as welding, smoking, electrical equipment and heaters); and the type of fire protection equipment or system present which can contain, extinguish, or control a fire.

b. Names or regular job titles of personnel responsible for maintenance of equipment installed to prevent or control fires.

c. Names or regular job titles of personnel responsible for control of fuel-source hazards.

d. Procedures to be used to control the accumulation of flammable and combustible waste materials and waste residues so that they do not contribute to a fire emergency.

852.5 Employee Training

.51 General. Employees must be instructed by their immediate supervisor in:

a. The evacuation and emergency procedures of the installation.

b. The use of fire-extinguishing equipment. (Employees whose work station is in, or adjacent to, high-hazard operations must be trained in the use of appropriate fire-extinguishing equipment for that specific operation.)

c. Good housekeeping practices.

d. The observance of smoking rules.

.52 Emergency Action Plan and Fire Prevention Plan Training

.521 Before implementing the emergency action plan, a sufficient number of employees will be designated and trained to assist in the execution of a safe and orderly emergency evacuation.

.522 Before implementing the fire prevention plan, the immediate supervisor must inform all employees of the fire hazards in the work area to which they may be exposed.

.523 The emergency action and fire prevention plans will be reviewed with each employee of the installation at the following times:

a. When the plans are first developed.

b. Whenever there is a change in employee responsibilities or designated actions under the plans.

c. Whenever the plans are revised or, annually, if there has been no revision during the year.

.524 The immediate supervisor must review with all newly assigned employees those parts of the plans which the employees must know to protect themselves in the event of an emergency.

.525 The written plans must be kept at the workplace and be made available for employee review.

853 Alarm Systems and Extinguishers

853.1 Alarm Systems

.11 Every postal facility must have an established employee alarm system that complies with OSHA Standard 29 CFR 1910, paragraph 165 and that includes:

a. A warning which provides sufficient reaction time for safe escape of employees from the workplace, or the immediate work area, or both.

b. The capability of being heard or seen above ambient noise or light levels by all employees in the affected areas of the workplace. Tactile devices may be used to alert employees who would not be able to recognize the audible or visual alarms.

c. A distinctive and recognizable signal to evacuate the work area or to perform actions designated under the emergency action plan.

d. Procedures for informing each employee of the preferred means of reporting emergencies, such as manual pull-box alarms, public address systems, radio or telephones. The installation head must have emergency telephone numbers posted near telephones, on employee bulletin boards, and at other conspicuous locations where telephones serve as a means of reporting emergencies. Where a communication system also serves as the employee alarm system, all emergency messages must have priority over all nonemergency messages.

e. Procedures for sounding emergency alarms in the workplace. For those installations with ten or fewer employees in a particular workplace, direct voice communication is an acceptable procedure for sounding the alarm provided all employees can hear the alarm. Such workplaces need not have a backup system.

f. Maintenance and testing of employee alarm systems in compliance with appropriate NFPA and OSHA standards.

.12 If the employee alarm system is also used for alerting fire brigade members, or for other purposes, a distinctive signal for each purpose must be used.

853.2 Extinguishers

.21 The number, type, location, maintenance, and inspection of fire-extinguisher equipment and systems must be in accordance with Handbook MS-56, *Fire Extinguishing Equipment*, and 29 CFR 1910.157 - 1910.163 as required. **Exception:** The maximum travel distance to any portable fire extinguisher must not exceed 50 feet.

.22 Fire-fighting equipment that is in damaged or unserviceable condition must be removed from service and replaced immediately.

854 Fire Brigades and Drills

854.1 Fire Brigades

.11 Organization. In installations having 10,000 square feet or more, a trained fire brigade of postal employees must be maintained on each work tour. Fire brigades may be maintained in smaller installations when warranted by the type of operations conducted. All postal installations having an organized fire brigade must prepare and maintain a written policy statement which establishes the existence of a fire brigade; its basic organizational structure; the type, amount, and frequency of training to be provided brigade members; the expected number of members in the brigade; and the functions that the fire brigade is to perform at the facility. This statement may be a part of the fire prevention plan.

.12 Size. The size of the brigade depends on the amount of fire-extinguishing and control equipment, the number of exits, and the number of employees on duty. A prearranged schedule must be developed to ensure the availability of the brigade.

.13 Duties of Brigades. The organizational statement must clearly indicate that at no time will postal fire brigades stand and fight any fire beyond the incipient stage. For USPS purposes, an incipient fire is one in the initial or beginning stages which can be controlled, contained, or extinguished by portable fire extinguishers, Class II stand pipe, or small hose systems, without the need for personal protective clothing or self-contained breathing apparatus (SCBA). The use of SCBA requires a higher level of skill and training not usually expected of postal employees.

Other duties of the fire brigade include, but are not limited to:

a. Stopping conveyor belts.

b. Closing doors to rooms and covers at dump holes and conveyor openings.

c. Directing firemen to location of fire.

d. Evacuating injured and handicapped personnel.

e. Inspecting fire site with the fire department to determine that the fire is completely extinguished and that no possibility of rekindling exists.

f. Moving vans from loading docks.

g. Shutting down all electrical power to the building or sections as directed by the municipal fire department.

h. Maintaining perimeter security to prevent reentry until officially instructed to permit same.

i. Assisting the fire department in maintaining crowd control.

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.14 Membership Building maintenance employees and security personnel should form the nucleus of the fire brigade. Additional personnel may be assigned to assure adequate coverage on all tours. The assigned members are:

a. Fire Brigade Leader.(The installation head is responsible for appointing the Fire Brigade Leader who should normally be the superintendent for building maintenance or someone in a similar position. The Fire Brigade Leader must establish a procedure to provide quarterly review of the program to ensure operational efficiency.)

b. Assistant Fire Brigade Leaders.(appointed by the Fire Brigade Leader).

c. Brigade members.(appointed as needed to cover all tours, with an alternate for each member) The Fire Brigade Leader will ensure that all persons selected as members of the fire brigade are physically capable of performing the duties which may be assigned to them during training or actual emergencies. Employees with known heart disease, epilepsy, or chronic obstructive pulmonary diseases will not be permitted to participate in any fire brigade activity unless they present a certificate of fitness from their personal physician stating that they are physically capable of performing such duties. Employees with physical handicaps are permitted to be fire brigade members; however, their job assignments will be governed by their ability to perform specific tasks.

.15 Training. Members are required to complete an initial basic level of training and quarterly programs of refresher training. Such training and education must be provided to members before they are expected to perform any fire brigade emergency activity. Safety and fire department personnel should assist in the establishment and training of the fire brigade. Fire brigade leaders and training instructors must be provided training and education which is more comprehensive than that provided to the general membership of the fire brigade. Such training is available from state fire-fighting academies and local fire departments. Training for all members must be on-the-clock and must cover:

a. Teamwork coordination.

b. Specific fire drill duties for each member and alternate.

c. Familiarization with all fire-extinguishing equipment, including actual practice.

d. Fire alarm systems and fire reporting.

e. Classifications of fires, and the equipment used on each.

f. Stopping fire along conveyor belts and between work levels.

g. First aid and rescue operations.

h. Salvage operations to include removal or minimizing of smoke and water damage.

i. Conducting fire brigade drills. (Fire brigade drills must be conducted at least annually to assure efficiency).

.16 Exposure. At no time should any fire brigade member perform a task which exceeds their level of skill, ability, or training, or expose themselves or other employees to unnecessary dangers and risks.

.17 Special Hazards. The Fire Brigade Leader must inform fire brigade members about special hazards such as storage and use of flammable liquids and gases, toxic chemicals, radioactive sources, and water reactive substances to which they may be exposed during fire or other emergencies. The fire brigade members must also be advised of any changes that occur in relation to the special hazards. The Fire Brigade Leader must develop and make available for inspection by fire brigade members written procedures that describe the actions to be taken in situations involving the special hazards and must include these in the training and education program.

.18 Installations Without Fire Brigades. In installations that do not have fire brigades, the installation head is responsible for ensuring that supervisors or employees are assigned the following functions in case of fire:

a. Notification of fire department.

b. Prompt evacuation of injured or handicapped employees.

c. Security of mail, monies, receipts, and accountable and valuable papers.

d. Use of fire extinguishers.

854.2 Drills

At least one fire drill must be conducted annually on each work tour. The importance of fire drill training must be impressed upon all postal employees. In conducting fire drills, the following objectives must be met:

a. Sounding of alarms and prompt notification of fire department.

b. Orderly evacuation in minimum time.

c. Security of mail, monies, receipts, and valuable papers.

d. Emergency plan assignments by designated fire brigade members.

855 Smoking Areas

855.1 Allowed

Smoking areas must be clearly designated, equipped with ashtrays, and located within view of supervisory personnel.

855.2 Prohibited

Smoking is prohibited:

a. At service windows and counters.
b. While receiving mail from the public.
c. While collecting mail from letter boxes.
d. While loading or unloading mail.
e. While distributing mail into pouches, sacks, or mail containers.
f. Near dropholes or conveyor areas.
g. In areas with flammable or combustible materials.
h. In storage areas or other unattended areas.
i. In elevators.
j. In mail storage cars and trailers.
k. In other areas as designated by the installation head.

856 Vehicle Protection

Fire extinguishers and emergency warning kits are to be placed on vehicles in accordance with Handbook M-52, *Fleet Management*, 217.21 & 217.22.

857 Codes, Standards and Ordinances

Compliance with USPS standards, OSHA standards, National Fire Protection Codes (NFPA), National Building Codes, and state and local fire codes is required. Managers must refer matters concerning fire prevention, extinguishment, and control, which are not covered by municipal or other regulations, to higher authority for resolution.

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Safety Records Retention & Disposition Instructions

Category	Description	Purpose	Storage	Cutoff & Disposition
Accident Report Records	Accident reports (Forms 1769), Logs (Forms 1772), computer print-outs, & the Annual Summary to OSHA (Form 102F)	To report accidents, providing information for analysis of their cost, frequency, & lost time, & to furnish information to OSHA	Forms 1769 are maintained by Headquarters according to Region & accounting period. Logs & OSHA Forms 102F are maintained locally	Cutoff each fiscal year. Dispose of when 5 years old
Safety Investigative Board Documents	Documents pertaining to investigations of fatalities and other serious accidents, including findings, reviews of actions taken, and recommendations.	To investigate & prevent accidents	Maintained by Headquarters, according to region, in chronological order	Cutoff each fiscal year. Dispose of when 5 years old
Safety program evaluations, inspection checklists, & other administrative papers	Facility inspection reports on deficiencies, safety hazards, & other types of safety inspections, including any logs (Forms 1784 A,B,&C; 1767; 1773; & 1783)	To determine program effectiveness & to detect potential accident causes	Maintained by each facility, in chronological order	Cutoff each fiscal year. Dispose of when 5 years old.
OSHA inspection reports & letters concerning corrections and violations	Includes copies of complaints, findings, names of participants, notes & other documentation	To determine compliance with OSHA regulations	Maintained in chronological order	Cutoff each calendar year. Dispose of when 5 years old.
Accident Studies	Studies & other statistical reports & analyses (Form 1764)	To study accident trends, make comparisons, & identify & correct acccident causes	Maintained in chronological order	Move to a closed file when the study or analysis is complete. Cutoff this file every calendar year. Dispose of when 5 years old. **Do not transfer to FRC.**

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Exhibit 811.2, Safety Records Retention & Disposition Instructions

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860 Medical Services

861 Scope

861.1 The U.S. Postal Service is committed to establishing a comprehensive occupational medical program consisting of preventive and remedial care designed to deal constructively with health and safety of employees as they relate to the workplace. The program's medical services include:

a. A concerted effort in preventive measures.
b. Care of acute injury or illness.
c. Disability rehabilitation.
d. Evaluation for continuous vocational placement.
e. Coordination with the Program for Alcoholic Recovery (PAR) in the diagnosis of alcoholism, including counseling and referral of employees to local community federally-approved drug treatment agencies when appropriate.

861.2 The program establishes an overall and uniform approach throughout the Postal Service with respect to occupational health services and health-related programs.

862 Policies and Objectives

862.1 Policy. It is the policy of the Postal Service to provide and maintain work environments which are conducive to and promote the good health and safety of all employees. To furnish the highest quality treatment for employees, medical facilities will be staffed with licensed physicians and/or registered nurses, and such other professional medical personnel as is appropriate.

862.2 Objective. To assure a safe and healthful workplace by providing the highest standards of occupational medical care, advice, and treatment. These services will include, but will not be limited to, the following activities:

a. Conducting preemployment medical examinations.
b. Evaluating medical records of applicants and employees.
c. Treating employee injuries and illnesses.
d. Conduting fitness-for-duty examinations.
e. Providing recommendations regarding physical capabilities, limitations, accommodation, and rehabilitation of handicapped employees or applicants.
f. Providing immunization services and participating in community health programs such as: blood pressure, glaucoma, and diabetes surveys, and blood bank programs.
g. Providing preventive medical programs in health counseling, education, and training.
h. Helping to prevent injuries and conserve sick leave.
i. Collecting epidemiologic data to detect statistical trends in occupational illness or injury.

862.3 Medical Facilities

.31 Medical Unit. A medical unit is a unit in a postal facility staffed with a medical officer(s) and nurse(s) who provide medical services within that facility and other offices in the assigned geographic area.

.32 Health Unit. A health unit is a unit in a postal facility staffed with one or more nurses who provide medical services within that facility.

863 Staffing and Functional Responsibilities

863.1 General

.11 Regional Directors, E&LR, are responsible for ensuring adequate medical staffing at medical and health units in accordance with established medical staffing criteria. An area medical officer is a medical officer who is assigned the responsibilities for medical services in a designated geographic area. In an MSC serviced by more than one medical officer, one of the medical officers may be assigned the area medical responsibility.

.12 Regional and MSC boundaries must be observed and maintained in the assignment of a medical officer for the administration of the medical program. Several MSCs may be assigned to one medical officer, except where the size of the base MSC requires the services of the medical officer full time.

863.2 Staffing

.21 General. The USPS medical staffing consists of a National Medical Director, Regional Medical Directors, Medical Officers (full-time and part-time), contract physicians, head nurses, and nurses. Licensed technicians are authorized as needed for x-rays, physiotherapy and laboratory functions. (See Handbook P-11, *Personnel Operations*, Chapter 3).

.22 Qualifications. All physicians must have a current unlimited license to practice medicine in a state, District of Columbia, Commonwealth of Puerto Rico, or a territory of the United States. All nurses must have a current RN certification.

863.3 Administrative and Functional Responsibilities

.31 Medical Directors

.311 The National Medical Director plans, manages, and implements the medical program, provides functional guidance to the Regional Medical Directors and audits regional medical activities. The National Medical Director is administratively responsible to the Director, Office of Safety and Health.

.312 Regional Medical Directors implement the medical program at the regional level, provide functional direction to medical officers and contract physicians, and assign area medical officers to cover a specific geographic area. Regional Medical Directors are administratively responsible to the Manager, Safety and Health Branch.

.32 Medical Officers

.321 Reporting Responsibility. Medical officers, full and part-time, are administratively responsible to the Sectional Center Director, E&LR. This responsibility cannot be delegated.

.322 Premises. Generally, full-time and part-time medical officer's work must be performed on postal premises or under the direction of the Postal Service.

.323 Work Schedules. As specified in 661.42, ". . . An employee may not engage in outside employment or other activity, which will interfere with the duties and responsibilities of Postal Service employment. . . ." Consequently, work schedule requirements appear below.

a. Full-Time Medical Officer. A medical officer who is employed as a full-time physician is usually scheduled to work a minimum of 8 hours per day, 5 days per week.

b. Part-Time Medical Officer. A medical officer who is employed as a part-time physician is usually scheduled to work a minimum of 20 hours per week. Except for occasional changes in the workload, this minimum should be observed. Consideration should be given by local management to the use of contract physician services if their requirements are generally less than 20 hours per week. Management and the part-time medical officer will establish a mutually agreeable work schedule, normally 4 hours a day, 5 days a week.

.324 Duties. Medical officers perform the following duties:

a. Manage medical units.

b. Provide treatment of employees.

c. Conduct physical examinations and review examinations performed by other physicians outside the Postal Service.

d. Issue standing orders for all the nursing staff in their area of responsibility.

e. Visit all health units in their assigned area at least every 6 months.

f. Establish medical records.

g. Make rounds on the workroom floor at regular intervals; evaluate working conditions to identify and recommend solutions to potential health and safety problems.

h. Monitor the medical status of employees returned to duty through the rehabilitation program at intervals of 2–4 weeks as indicated.

i. Coordinate with PAR office relative to the diagnosis of alcoholism.

j. Maintain a list of approved Drug Rehabilitation Centers. Counsel and refer employees to drug treatment centers as indicated.

k. Review all serious job-related injuries and fatalities to help determine if a medical condition contributed to the injury or fatality. (See ELM 823.11 & 823.21.)

l. Work with the employee relations staff and coordinate medical activity with safety and injury compensation staffs.

m. Participate in management meetings, particularly those related to safety and health activities.

n. Serve as consultant/expert witness in administrative appeal proceedings, as required.

.33 Contract Physician. A currently licensed physician, under agreement with the USPS, designated to perform specified medical services on a fee basis in areas where there is no coverage by a postal medical officer. The responsibilities while in the performance of postal medical duties are the same as those of a postal medical officer.

.34 Nurses. Nurses are administratively responsible to the head nurse or medical officer in a medical unit. In a health unit, nurses are administratively responsible to the head nurse and Sectional Center Director, E&LR, or Director of Support in a BMC. Functional direction is provided by the area medical officer. The following duties are performed by nurses:

a. Provide professional nursing care to employees.

b. Administer medications at the direction of a physician.

c. Assist medical officer in conducting examinations.

d. Maintain medical records.

e. Counsel and refer employees to drug treatment center and other health-related programs. (See Handbook EL-806, *Health and Medical Service*, for additional functional responsibilities and duties.)

f. Additional duties for head nurse are stated in the job description for occupational health nurses.

864 Physical Examinations

864.1 Preemployment

.11 It is mandatory that all applicants for career, temporary, or casual employment have a medical examination before placement, and for conversion to positions with different physical requirements than their present positions. (See Handbook P-11, part 322, for exceptions and scheduling procedures.)

864.2 Examining Physicians

.21 USPS. Postal medical officers perform the examination at a USPS medical unit within reasonable commuting distance from the applicant's home or at the postal installation where employment is sought.

.22 Other. Use of a private physician by an applicant will be at no expense to USPS. All preemployment medical examinations performed by private physicians are reviewed by a conveniently located USPS medical officer or a contract physician. When neither are available, a USPS nurse may review the examination report for completeness.

.23 Determination of Suitability. See Handbook P–11, 324.

864.3 Fitness for Duty (See Handbook P–11, 343.)

.31 A fitness-for-duty examination is required in determining whether an employee is able to perform the duties of the position because of medical reasons, i.e., disability, occupational/non-occupational injury, or illness.

.32 Management can order fitness-for-duty examinations at any time and repeat, as necessary, to safeguard the employee or co-worker. Specific reasons for the fitness-for-duty should be stated by the referring official.

.33 A specific test or consultation may be required in the judgment of the examining medical officer. The indications will be documented as part of the report.

.34 A medical officer or contract physician examines the medical report and evaluates all employees after prolonged injuries or illnesses (21 or more days), and assists them in placement to areas where they can perform effectively, with or without limitations.

.35 In cases of occupational injury or illness, the injury compensation specialist may request an examination in the course of monitoring an injury compensation case.

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865 Emergencies

(See EL–806, Chapter 1.)

865.1 Requirement. All medical and health units must be prepared to deal with emergencies and to provide medical assistance, as required.

865.2 Treatment. The procedures for handling medical emergencies on postal premises where medical/health units are located are listed below in priority sequence:

(*Note:* For those facilities that do not have medical/health units, go directly from step 1 to step 4, skipping steps 2 & 3.)

1. Provide necessary first aid treatment.
2. Notify the medical/health unit.
3. Evaluation by nurse/doctor to determine severity of injury/illness.
4. Notify security.
5. Transport to hospital by most appropriate means if required.
6. In nonwork-related cases, the employee's physician is consulted after control of the emergency and before any other arrangements are made. If the physician is not available, transport employee to the nearest hospital or hospital of choice.
7. Notification of next of kin by the postmaster, personnel officer, or senior official in charge.

865.3 Posting. Instructions to be followed in an emergency must be posted in medical/health units and on bulletin boards at appropriate places throughout the facility.

866 Rehabilitation After Work-Related Injury/Illness

Through coordination with the injury compensation program, every effort will be made to return the employee with a work-related injury/illness to some duty by:

a. Assessing the physical ability of an employee so that the employee can return to the work force as a productive individual and recommending assignments in which the pace and physical requirements minimize risk of re-injury.

b. Consulting with the treating physician to effectively monitor, at regular intervals, the capabilities of employees with work-related injury or illness. Also consulting when necessary with the appropriate specialists to resolve differences of opinion between the treating physician and the postal medical officer.

867 General Procedures

867.1 Agreements

.11 Special. The National Medical Director is responsible for the medical specifications of contracts requiring periodic physical examinations for a special category of employees (e.g., PCES) as required by management.

.12 Medical Surveys. Medical surveillance of employees who are exposed to toxic substances, e.g., asbestos and PCBs, is normally negotiated by the National Medical Director as part of the USPS Safety and Health Program. Any such surveys can be arranged at the regional level by the Regional Medical Director with the approval of the National Medical Director.

.13 Contract Physicians. The Regional Medical Director approves all medical agreements, Form 7314, *Health Unit Agreement*, for physicians or clinics who contract with the USPS.

.14 Health Agreements. These agreements are negotiated between the USPS and other Federal agencies to provide medical services to those agencies at USPS facilities. The Regional Medical Director and facility manager are responsible for facilitating such agreements. The Health Unit Agreement is signed by the Regional Medical Director.

.15 Reports. The Regional Medical Directors must submit summary reports of all medical agreements to the National Medical Director at the end of the second and fourth quarters of each fiscal year.

867.2 Malpractice. Malpractice insurance is not available for postal medical personnel. Representation in civil or criminal proceedings will be provided in accordance with ELM 667.2.

867.3 Preservation of Privacy

Preservation of the privacy of medical records is a direct responsibility of the medical officer/nurse. (See Handbook EI–806, Chapter 2.) In facilities where no medical personnel are assigned, the area medical officer will arrange with the installation head to properly secure the medical records. Where there is no area medical officer the Regional Medical Director will perform this function.

867.4 Medical Training (See ELM 740.)

.41 The USPS authorizes training for employees to upgrade or maintain proficiency in their current positions.

.42 Continuing medical education is encouraged by:

a. Attendance at seminars and medical meetings to improve the professional skills of medical officers and nurses in occupational medicine.

b. CPR (training with annual re-certification) is required for all medical personnel. This training will be at Postal Service expense.

.43 Requests for medical training by medical personnel are to be submitted through the employee's supervisor to the appropriate approving official at the installation.

867.5 Conflict of Interest

.51 Full-time medical personnel must not accept any postal employee as a private patient. Medical personnel are defined as physicians, nurses, and other professional personnel. This rule applies to new patients and does not affect physician/patient relationships that were in existence prior to the issuance of this subchapter. The exception is where an existing private relationship creates an actual conflict of interest as defined in ELM 661.42, in which case the relationship must be terminated.

.52 Physicians who are completing residencies and serving as area medical officers may not refer employees to themselves at the facility where they are serving their residency. Also, medical officers may not make referrals to a relative. Relative is defined in Handbook P–11, 312.323.

.53 Part-time and contract medical personnel may treat postal employees privately within the bounds of the general ethical conduct standard (661.42) which provides that outside employment may not interfere with the duties and responsibilities of postal service employment. Specifically, part-time or contract medical personnel may not:

a. Serve as the private physician to, or treat in private practice, postal employees sustaining occupational injuries or illnesses.

b. Continue to treat postal employees for a non-job-related injury or illness when the employee initially sought treatment while the physician, nurse, etc., was acting in an official capacity with the Postal Service.

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870 Program For Alcoholic Recovery (PAR)

871 INTRODUCTION

871.1 Definitions

.11 Alcoholism is a complex disease characterized by the uncontrolled use of alcohol. Alcoholism may seriously affect the victim's health, personal life and/or job performance and, if untreated, the victim suffers increased deterioration of physical and mental health and, almost invariably, early death. Problem drinking is generally considered to be an early stage of alcoholism.

.12 The Program for Alcoholic Recovery (PAR) is a formal, non-disciplinary program designed to assist alcoholic employees to recover from the disease, thereby eliminating its harmful effects on the employee's employment and personal life.

871.2 Policy

.21 Participation in PAR is voluntary and will not jeopardize the employee's job security or promotional opportunities. However, participation in the program does *not* guarantee against disciplinary action for continuing failure to meet acceptable standards of work performance, attendance and/or conduct.

.22 PAR is administered nationwide by the Postal Service, and is in conformance with applicable collective bargaining agreement provisions.

872 PROGRAM ELEMENTS

872.1 Education

A continuing educational program for all employees regarding the disease of alcoholism will be conducted by PAR personnel at the national, regional, and local levels.

872.2 Identification

Although the factors causing alcoholism may be complex and obscure, there are recognizable patterns of behavior that help to identify employees afflicted with the disease. The following behavior patterns are among those which should be considered as possible indicators of an alcohol-related problem:

a. absenteeism,
b. deteriorating performance,
c. on-the-job intoxication,
d. tardiness,
e. lack of dependability, and
f. negative attitude changes.

872.3 Referral and Interview

.31 Postal managers and supervisors who have identified employees with apparent alcohol-related employment problems have the responsibility of referring such employees to the program and should contact PAR personnel for assistance and information regarding proper referral procedures. Management has the authority to require the employee to attend an initial PAR interview.

.32 Other possible referral sources are:

a. Union representatives,
b. medical personnel,
c. family,
d. fellow employees,
e. judicial or social service agencies, or
f. the employee concerned.

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872.4 Recovery Resources

There are PAR offices in most major postal facilities which are staffed by PAR Coordinators and PAR Specialists who are trained to counsel employees who seek their assistance. A variety of programs and treatment facilities are available to assist in recovery and may be recommended by the PAR Coordinator. If hospitalization or detoxification is recommended, requests for sick leave, leave without pay, annual leave, or advanced sick leave will be given careful consideration.

872.5 Follow-up

Once an employee has been referred to PAR and has begun participating in the program, the employee's manager or supervisor involved should contact the PAR Coordinator or PAR Specialist concerning the employee's continued participation and progress toward recovery.

873 REINSTATEMENT OF RECOVERED ALCOHOLICS

873.1 Policy

.11 Where alcoholism was a primary contributing factor to events which led to an employee's removal from the Postal Service, that individual does not necessarily lack the potential to become a productive postal employee in the future. Those who recover from the disease of alcoholism may be fully employable, and their request for reinstatement should be given serious consideration, recognizing that the experience gained in the former postal employment is a potentialy valuable asset.

.12 In reviewing such reinstatement requests, local management will consider the former employee's postal work history and the nature of the charges which led to removal as well as the eligibility factors set forth below.

873.2 Eligibility

.21 Reinstatement of an individual whose removal from the Postal Service was related to alcoholism may be considered when:

a. The individual submits a written request for reinstatement, accompanied by a "Consent to Disclosure Form," indicating the employee's written consent to waiver of Privacy Act restrictions on disclosure of records.

b. The individual has satisfactorily participated in a recognized recovery program for a minimum of six months prior to application for reinstatement and is willing to provide employing officials with written certification as to satisfactory participation. PAR personnel will assist the employing officials, where feasible, in ascertaining whether the individual has been rehabilitated to the extent that reinstatement should be considered.

c. The individual is willing to accept reinstatement on the basis of continued participation in a PAR coordinated program.

d. The individual is willing to accept reinstatement with the understanding that future alcohol-related employment problems may be cause for removal.

.22 When the above criteria have been met, each case will be judged on its own merits.

873.3 Procedures

For procedural requirements regarding reinstatement, see Handbook P—11, *Personnel Operations*, Subchapter 260, and ELM, 323.

873.4 Responsibilities

.41 Employing officials must give serious consideration to requests for reinstatement as set forth in ELM 863.1 and 863.2.

.42 If a former bargaining unit employee is reinstated to a bargaining unit position, employing officials must comply with all relevant provisions of applicable collective bargaining agreements in determining the employee's seniority and other contractual rights.

873.5 Approving Authority

For reinstatement of recovered alcoholics, approval must be obtained as outlined in ELM 323.23, and in Handbook P-11, part 313.

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870 Program For Alcoholic Recovery (PAR)

871 Purpose

PAR is a formal, nondisciplinary program to help alcoholic employees resume their usefulness to the Service through recovery.

872 Policy

872.1 Explanation

The program supplements, but does not replace, existing personnel procedures on problem employees. An alcoholic or problem drinker represents a special kind of employee. Uncontrolled drinking is either an illness or symptom of an illness. As with other illnesses, it is USPS policy to help the employee recover health and return to productive performance.

872.2 Participation

The employee is urged to participate in the program voluntarily. Acceptance of treatment does not jeopardize job security; however, treatment does not guarantee against disciplinary action for continuing failure to meet acceptable standards of attendance, work performance, and conduct. USPS remains neutral on employee use of alcohol while off duty, but does not accept substandard performance regardless of cause. (PAR Operations Handbook in process.)

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Chapter 9
Labor Relations

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910 Employee Organizations

911 Participation and Membership in Labor Organizations

911.1 Each postal employee has the right, freely and without fear of penalty or reprisal, to form, join, or assist a labor organization or to refrain from any such activity. Each employee shall be protected in the exercise of such rights. Except as specified in 911.3, this right extends to participation in the management of the organization and acting as an organization representative. It includes presentation of the organization's views to officals of the USPS, officals of the Executive Branch, the Congress, or other appropriate authority.

911.2 No interference, restraint, coercion, or discrimination to encourage or discourage membership in a labor organization shall be effected in the Postal Service.

911.3 Supervisors and certain other employees may not actively participate in the management of a labor organization including voting in intra-union elections or acting as a representative of a labor organization, when it would result in a conflict of interest or apparent conflict of interest or otherwise be incompatible with law or with the official duties of the supervisor or employee.

911.4 The USPS accords exclusive recognition to labor organizations which meet the requirements for such recognition under the provisions of the Postal Reorganization Act.

911.5 Employees who represent a recognized labor organization are not on official time when negotiating a collective bargaining agreement with postal management.

912 Participation and Membership in Supervisory and Managerial Organizations

912.1 Postal personnel have the right, freely and without fear of penalty or reprisal, to form, join, or assist a supervisory or managerial organization or to refrain from any such activity. Such personnel are protected in the exercise of such rights. Such rights include participation in the management of the organization and acting as organization representative, and it includes the presentation of the organization's views to USPS officials, officials of the Executive Branch, the Congress, or other appropriate authority.

912.2 No interference, restraint, coercion, or discrimination to encourage or discourage membership in such an organization shall be effected in the Postal Service.

913 Dues Withholding for Employee Organizations

913.1 Voluntary Withholding of Dues

Individuals who are members of supervisory, managerial or labor organizations which have approved dues withholding agreements with the USPS (see 913.3) may voluntarily authorize the PDC to withhold periodic dues from their salary payments. The organizations for which dues deductions are authorized includes those encompassed by the provisions of the Postal Reorganization Act.

913.2 Monthly Dues Collection Schedule

Dues withholding, when voluntarily authorized by postal personnel, are collected from earnings for the first full pay period of each calendar month and are reflected in the salary check distributed on the pay day after such pay period.

913.3 Eligible Organizations

.31 The following organizations have been approved to participate in dues withholding. They are identified in data processing records by the indicated alphabetical code designations:

a. *Labor Organizations*	*Code*
(*1*) Recognized Bargaining Agents:	
National Association of Postal Police Officers PO Box 8462 San Francisco, CA 94128	B

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a. *Labor Organizations*	*Code*
Federation of Postal Security Police 215 Kirkwood Drive Pittsburgh, PA 15215	C
National Postal Professional Nurses PO Box 31475 San Francisco, CA 92131	D
Florida Nurses Association PO Box 6985 1235 East Concord Street Orlando, FL 32803	F
National Post Office Mail Handlers, Watchmen, Messengers and Group Leaders, Division of the Laborers' International Union of North America 1225 19th Street NW Suite 450 Washington, DC 20036	H
National Association of Letter Carriers, AFL-CIO • 100 Indiana Avenue, NW Washington, DC 20001	L
International Association of Machinists, AFL-CIO Columbia Lodge No. 174 1809 Rhode Island, NE Washington, DC 20018	M
National Rural Letter Carriers' Association 1750 Pennsylvania Avenue, NW Washington, DC 20006	R
American Postal Workers Union, AFL-CIO 817 14th Street, NW Washington, DC 20005	W

(*2*) Other Labor Organizations:

American Federation of Government Employees, AFL-CIO 1325 Massachusetts Avenue, NW Washington, DC 20005	A
National Alliance of Postal Employees 1644 11th Street, NW Washington, DC 20001	E

b. *Supervisory and Managerial Organizations*	*Code*
National League of Postmasters of the United States 1023 North Royal Street Alexandria, VA 22314	N
National Association of Postmasters of the United States 1616 Fort Myer Drive Suite 800 Arlington, VA 22209	P
National Association of Postal Supervisors 490 L'Enfant East, SW, Suite 3200 Washington, DC 20024	S

913.4 Authorization For Dues Withholding

.41 Authorization Forms

.411 SF 1187, is used by members of supervisory or managerial organizations for authorization of dues withholding

.412 SF 1178, *Authorization for Deduction of Union Dues,* provided by the Unions is used by members of labor organizations for authorization of dues withholding, which membership dues may include the yearly subscription price to the Union's monthly publication.

.413 SF 1187, *Authorization for Deduction of Association Dues,* provided by the Union is used by members of the Florida Nurses Association for authorization of dues withholding.

.414 The organization representative:

a. Distributes appropriate forms to members who voluntarily desire to have the USPS withhold dues from their salary payments.

b. Makes certain that the top portion of the form is completed indicating the name and alpha code (913.3) of the organization; identifying each member, by name, address, and social security number; and showing the name and finance number of the installation where such employee is officially assigned.

c. Certifies the amount of dues to be withheld each month from the individual's compensation.

.415 Distribution, collection, and certification of such forms should not be made on official time, in a work area.

.42 Employee Eligibility

.421 Employment Status Requirement

a. General:

Individuals who are members of approved organizations are eligible to participate in dues withholding procedures.

b. Exceptions:

Because of the intermittent nature of their employment, certain employees are excluded from this policy:

Casual and Temporary Employees
Postmaster Leave Replacements at NCD offices
Substitute Rural Carriers
Rural Auxiliary Assistants

.422 Multiple Dues Withholdings. An eligible individual may make an allotment for the payment of dues to not more than 3 organizations. A separate authorization form is completed for each organization.

.43 Submission of Complete Authorization Form

.431 General. The organization representative submits the original autorization form to the postal installation where the member is employed. Installation heads make sure that the "date of delivery to employer" is entered and the form is promptly forwarded to the servicing PDC.

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.432 Exceptions

a. Organizations representing postmasters may submit the original authorization form through regular payroll channels or directly to the servicing PDC.

b. Dues deduction authorization forms for Rural Carriers continue to be submitted directly to the PDC by the NRLCA National Office, which is responsible for entering the "date of delivery to employer" at the time of transmittal.

.433 Implementation of Dues Withholdings. The PDC begins dues withholding with the first full pay period following the receipt of properly completed authorization forms in the PDC. In the event that "Authorization for Deduction of Dues" forms are received at the PDC without the date of delivery filled in, the PDC enters the date of receipt as the "date of delivery" and proceeds to process the form. the PDC sends a copy of the dated form with an appropriate explanation to the installation of origin for transmittal to the organization.

.434 Certification of Amount to be Withheld

a. The appropriate official of each employee organization properly certifies the amount to be withheld.

b. When the organization changes the amount to be withheld, a blanket authorization, listing the affected individuals, is accepted and used for such purpose by the PDC. Such notice includes the individual's name, social security number, finance number, effective date and "from" and "to" dues amounts. The notice is certified by a regional or national official of the organization and forwarded to the Regional Director, Employee and Labor Relations who indicates approval and forwards to the servicing PDC.

.435 Confirmation of Correct Deduction

a. The amount withheld for dues is shown on Form 1223, "Statement of Earnings and Deductions." If an erroneous dues amount is withheld, the individual follows normal payroll inquiry procedures in questioning such deduction. The PDC rechecks the amount authorized by the individual on the current authorization form and changes the individual payroll master record if it is in error. The PDC does not make a retroactive adjustment unless it is responsible for the error in dues withholding, e.g., if it fails to process a properly submitted authorization form, or deducts an incorrect amount, or makes deductions for the wrong organization.

b. If the individual has authorized withholding for 2 or 3 organizations, the statement of earnings and deductions shows only 1 combined amount of dues deductions for the pay period. When the new payroll system is implemented the statement of earnings shows deductions for up to 3 organizations.

913.5 Revocation of Dues Withholding Authorization

.51 Voluntary Revocations. Except as specified below, dues withholding authorizations can only be revoked in accordance with the terms of the authorization form which the individual signed to initiate the dues withholding.

a. An individual who enrolled by submitting a SF 1187 and who wishes to revoke it submits a SF 1188 to the installation head or in the case of postmasters, to the PDC. In these cases, cancellation notice may be given at any time, but it is only processed in March or September.

b. An employee using the new authorization form described in 913.412 may only cancel by submitting written notice to the installation head and the Union not more than 20 days and not less than 10 days prior to the anniversary date such individual's dues withholding authorization. The "date of delivery to employer" on these forms is the controlling date for revocation purposes.

c. Members of the Florida Nurses Association having on file the new form (913.413) may revoke "not more than 20 days and not less than 10 days prior to the expiration of any one month," in accordance with the terms of this new form.

d. An individual whose documented position is not within a recognized bargaining unit (such as a supervisor), but who is having dues withheld for a labor organization which is recognized as a bargaining agent (see 913.31a(1)), may voluntarily revoke the dues withholding authorization, effective the first full pay period after the request for revocation is received at the PDC. Such requests are to be shown on SF 1188 with the following consecutive words lined out and initialed by the employee: "following March 1st or September 1st, whichever date first occurs."

.52 Discontinued Withholding

a. Dues withholding is discontinued upon separation of any individual enrolled in the dues withholding program.

b. Withholding of dues is discontinued at any time upon written request from the organization for which the withholding is authorized.

c. Dues withholding authorization forms to organizations such as the American Federation of Government Employees or the National Alliance of Postal Employees, which are not "certified bargaining representatives" nor "recognized organizations of supervisory and other managerial personnel," may only be revoked in strict compliance with the terms of the authorization form which the employee signed to initiate the dues withholding.

.53 Revocation Notices. Revocation notices must include the individual's name, date, home address, social security number, name and finance number or the installation where the individual is officially assigned, and the name and alpha code of the organization involved.

.54 Revocation Procedures. The postal installation receiving properly executed revocations promptly forwards the originals to the PDC. Copies of revocations submitted by individuals are to be promptly forwarded to the local organization representative or, if there is no local representative, directly to the national organization. The PDC promptly notifies the installation head of any refusal to honor a revocation notice and the reason therefor. The installation head in turn promptly notifies the individual and the organization.

.55 Transfer/Reassignment. When an individual who is having dues withheld for a management or labor organization (as listed in 913.31a–b) transfers or is reassigned to another postal installation, his dues withholdings are transferred to the local organization at the gaining installation. The dues amount remains the same unless otherwise changed by the new local. If a change in the dues amount is to be made, a request is submitted by the organization as provided in 913.434b; however such request is limited to the individual involved.

913.6 Coding Instructions

.61 Organization Codes. Each national organization is identified by a specific alphabetical code as shown in 913.3.

.62 Subdivision Codes. The post office finance number is used to identify each post office local. Official state codes are used to identify the postmaster and rural carrier organization subdivisions.

.63 Remote or District Locals. In some cases, an individual working at 1 postal installation is a member of a local identified with a different post office. The postal installation finance number is used to identify the office of employment. In addition, the post office finance number used to identify such remote or district local is also entered.

.64 Members at Large. Where organizations have members attached directly to the national organization or state division instead of to a local, the words "Members at Large" are shown after the name of the organization. The includes individuals at post offices which do not have local organizations.

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Appendix A

Directives Related to the ELM

A. Explanation

Appendix A contains a listing of publications and handbooks which are conceptually related to the Employee & Labor Relations Manual (ELM). Those which are not related to any particular chapter of the manual are listed under *General.* Those which are related to a particular chapter are listed under that chapter. An explanation of the meaning of each column follows:

1. ID#. The type and identification number of the directive (Pub. means publication: Hbk. means handbook.)

2. Title. The complete title of the directive.

3. TL/Date. For *revisable* directives, the most recent transmittal letter and its date, as TL-24, 11-74. For *nonrevisable* directives, the date of the most recent edition, as Aug. 79.

4. Pages. The total number of pages in the complete directive. The page count includes all pages, even if some are blank.

5. Size. The page size of the directive in inches, as 8½ x 11, 6 x 9. (This data plus the page count indicates whether the directive is a "book" or a "brochure".)

6. Distribution. Distribution codes indicate which facilities are on the mailing list to receive the directive. (See page 4 for an explanation of the codes.)

7. Requisition. Indicates the unit which processes requisitions for the directive. (See page 4 for an explanation of the codes.)

8. Key Word(s). The key word or phrase for the directive. (Note: some key words do not appear in the title of the directive.

B. Listing

1. ID No.	2. Title	3. TL/Date	4. No. Pages	5. Size	6. Distribution	7. Requisition	8. Key Words
General							
Chapter 1—Organization Management							
Chapter 2—Job Evaluation							
Hbk.P-1	Position Descriptions, Bargaining Unit Positions	TL-81-1	466	8x10½	60	ER	personnel-position descriptions
Hbk.P-4	Standard Position Description (6 volumes)	TL-11, 11-79	2200	8x10½	60	ER	position description
Chapter 3—Employment and Placement							
Pub.199	The Position of Postal Inspector	Oct. 79	14	4x8½	30, 33	IS	inspectors qualification selection
Hbk.EL-302	Qualification Standards —Non-Bargaining Unit Positions	TL-1, 1-81.	468	8x10½	4, 30, 34, 59	RAB	personnel-qualifications
Hbk.EL-320	Instructions for Supervisors & Managers ("PASS")	Dec. 81	5	8½x11	60	ER	instructions /PASS
Hbk.EL-321	Delivery and Collection ("PASS")	Dec. 81	34	8½x11	60	ER	delivery/ collection/ PASS

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B. Listing

1. ID No.	2. Title	3. TL/Date	4. No. Pages	5. Size	6. Distribution	7. Requisition	8. Key Words
Hbk.EL-322	Mail Processing Operations ("PASS")	Dec. 81	38	8½x11	60	ER	processing/ PASS
Hbk.EL-323	Station/Branch/ Associate Office Operations	Dec. 81	38	8½x11	60	ER	office/ operations/ PASS
Hbk.EL-324	Window Services ("PASS")	Dec. 81	32	8½x11	60	ER	window services/ PASS
Hbk.P-11	Personnel Operations	TL-7, 10-80	300	8x11	1a	RAB	personnel-operations
Hbk.P-12A	Qualification Standards for USPS Positions	TL-2, 3-78	380	8x10½	1c	RAB	personnel-qualifications
Hbk.P-12B	Qualification Standards for Bargaining Unit Positions	TL-2, 4-78	256	8x10½	1c	RAB	personnel-qualifications bargaining unit
Hbk.P-12C	Qualification Standards for Postal Data Center Positions	TL-2, 12-78	156	8x10½	31, 36, 37	RAB	personnel-qualifications PDC
Hbk.P-30	Conducting Postal Employment & Placement Examinations	TL-1, 5-75	64	8x10½	60	ER	personnel-examinations
Chapter 4—Pay Administration							
Pub. 104	Postal Source Data System-Supervisor's Handbook	May 81	86	4x5	22, 34, 36, 37, 39	SC	MOD PSDS payroll information system time & attendance
Pub.118	Fair Labor Standards Act Policy & Instructions	Aug. 80	68	8x10½	4, 6, 59	SC	FLSA schemes
Pub.204B	How to Use the Transacter for Normal Time Recording	Feb. 74	56	8x10½	60	ER	self-study training PSDS timekeeping clock rings transactor
Pub.204C	How to Use the Badge Reader	Feb. 74	42	8x10½	60	ER	self-study training PSDS timekeeping clock rings badge reader
Hbk.EL-401	Supervisor's Guide to Scheduling and Premium Pay	March 81	56	4x6	30, 31, 39, 53	SC	attendance personnel pay
Hbk.F-21	Time and Attendance	TL-27, 3-81	226	8x10½	1	RAB	timekeeping
Hbk.F-22	Postal Source Data System Time and Attendance	TL-1, 12-77	350	8x10½	22, 31, 32, 34, 36, 37, 39, 43	RAB	timekeeping MODS-1 PSDS

B. Listing

1. ID No.	2. Title	3. TL/Date	4. No. Pages	5. Size	6. Distribution	7. Requisition	8. Key Words
Hbk.P-19	PCES-Executive Skills Inventory Workbook	May 80	44	8½x11	30	EASC	PCES, workbook
Hbk.P-21	PCES Selecting Officials's Guide	Feb. 81	44	8½x11	30, 60	ER	PCES-selection
Hbk.P-31	Supervisor's Guide to Merit Performance Evaluation	Aug. 80	16	8x10½	30, 31	SC	personnel-merit evaluation
Chapter 5—Employee Benefits							
Pub.136	Licensed Vendor Listing: Uniform Allowance Program	Oct. 73	50	8x10½	4, 6, 17, 31	SC	uniforms supply sources
Hbk.EL-501	Supervisor's Guide to Attendance Improvement	Nov. 80	28	8x10½	60	SC	personnel time & attendance
Chapter 6—Employee Relations							
Pub.64	Supervisor's Guide on Alcoholism	Dec. 76	31	4x9	61	SC	alcoholism PAR
Pub.218	Program for Alcoholic Recovery	June 78	17	4x7	60	SC	alcoholism PAR
Hbk.EL-604	Guide for Handling MSPB Cases	April 81	110	8x11	61	O	merit system
Hbk.P-5	Conducting On-Site Equal Employment Opportunity Evaluations	TL-1, 9-75	44	8x10½	41	RAB	personnel-EEO
Hbk.P-6	Employee Suggestion Program	April 79	42	6x9	1	SC	suggestions
Hbk.P-29	Food Service Operation & Employee Social & Recreational Funds	TL-1, 6-74	68	8x10½	4, 31, 34, 43, 47	RAB	food service management
P-34	Retirement Guide	Aug. 80	37	8x10½	61	SC	personnel
Hbk.P-40	EEO Counseling Model	Oct. 1980	47	6x9	61	ER	personnel-EEO
Chapter 7—Training							
Hbk. CD-1	Mechanical Fundamentals	Oct. 70	64	8x10½	31, 34, 30	SC	self-study training machinery maintenance career development
Hbk. CD-2	Electrical Fundamentals	Oct. 70	68	8x10½	1	SC	self-study training electricity maintenance career development
Pub.96	Information for Students	Feb. 81	24	4x9	58	RTC	training campus info
Hbk.M-5	Schemes: Construction, Assignment, Training, and Proficiency	Aug. 80	26	8½x11	4, 14, 40, 51	SC	schemes

B. Listing

1. ID No.	2. Title	3. TL/Date	4. No. Pages	5. Size	6. Distribution	7. Requisition	8. Key Words
Hbk.P-15	Instructor's Guide for Training Mechanics Basic Mechanical Equipment	Nov. 68	26	8x10½	31, 41	SC	training maintenance
Hbk.P-16	Instructors Guide for Basic Maintenance Training	Dec. 68	52	8x10½	31, 41	SC	training maintenance
Hbk.P-22	Instructor's Training Manual for Edger-Stacker-Facer Canceler System	June 68	51	8x10½	31, 36, 41	SC	edger-stacker, facer-canceler
Hbk.P-23	Orientation and Craft Skill Training	TL-17, 6-80	722	8x10½	1c	RAB	training, orientation
Hbk.P-26	Grammar, Punctuation, Capitalization	Sept. 79	112	8x10½	30, 61	ER	writing training
Chapter 8—Safety and Health							
EL-806	Health and Medical Service	TL-1, 1-82	82	8x10½	25, 40, 43	RAB	health, medical unit
EL-809	Guidelines for Local Joint Labor-Management Safety & Health Committees	March 1982	10	6x9	60	ER	Safety, Health
EL-809 T	Instructor's Guide LJL-M Safety & Health Committee	March 1982	34	8½x11	60	ER	Safety, Health, Training
Hbk.P-13	Supervisor's Safety Handbook	TL-1, 2-74	132	8x10½	1	RAB	safety
Chapter 9—Labor Relations							
EL-901	Agreement between USPS and APWU & NALC	July 1981 to July 1984	162	4½x7	1	SC	Unions, APWU, NALC
EL-902	USPS-NRLCA National Agreement	July 1981 to July 1984	114	4½x7	1	SC	Unions, NRLCA
EL-903	Agreement between USPS & Mail Handlers	July 1981 to July 1984	136	4½x7	1	SC	Unions, LIUNA
EL-904	National Agreement (Mail Equipment Shops)	July 1981 to July 1984	92	5x7	60	LR	Unions, APWU
EL-905	National Agreement (Mail Bag Depositories, Repair Centers, and Supply Centers)	July 1981 to July 1984	92	5x7	38, 57, 58	LR	
EL-906	Agreement between USPS & FPSP	Sep. 1981 to Oct. 1984	94	5x6½	33	LR IS	Unions, FPSP
Hbk.P-32	Supervisor's Guide to Handling Grievances	Nov. 79	64	8½x11	2, 30, 31	SC	personnel grievances
HbK, PO-403 T	Operator Training for Sorting Machines	Oct. 1981	50	8x10½	1	SC	MPLSM, Training

C. Codes

Distribution Codes

1. All postal facilities
    a. Except CAG L offices
    b. Except CAGs K+L offices
    c. Except CAGs H–L offices
    d. Except CAGs E–L offices
    e. Except CAGs C–L offices
2. All post offices
3. CAG A–C post offices
4. CAG A–G post offices
5. CAG D–L post offices
6. CAG H–J post offices
7. CAG A post offices
8. CAG B post offices
9. CAG C post offices
10. CAG D post offices
11. CAG E post offices
12. CAG F post offices
13. CAG G post offices
14. CAG H post offices
15. CAG J post offices
16. CAG K post offices
17. CAG L post offices
18. Post offices with classified stations and/or branches only
19. Post offices with city delivery
20. Post offices with finance offices
21. Post offices with customer service representatives
22. Postal source data system (PS DS) post offices
23. Post offices with Express Mail service
24. Post offices with self-service postal centers (SSPC)
25. Post offices with medical personnel
26. Post offices with contract stations and branches only
27. Multi-coded post offices only
28. Post offices with lookout galleries.
29. (Reserved)
30. Headquarters
31. Regions
32. E&LR Information Centers
33. Inspection service personnel
34. Districts
35. District offices having bulk mail centers
36. Postal data centers (PDC)
37. Automatic data processing centers (ADPC)
38. Mailbag depositories and repair centers
39. PST&DI field centers
40. Management sectional centers (MSC)
41. Facilities with indicated mechanization, job title or mail service
42. Field real estate and building offices (FREBO)
43. Bulk mail centers (BMC)
44. Mail classification centers
45. Procurement services offices (PSO)
46. Transportation management offices (TMO)
47. Vehicle maintenance facilities (VMF)
48. Maintenance capable office
49. Area maintenance offices (AMO)
50. International exchange offices
51. Postal employee development centers (FEDC)
52. PEDCs serving BMCs
53. Airmail airport facilities
54. Military, APOs, FPOs
55. Facilities with Mark IIs
56. Compensation officers
57. Eastern Area Supply Center (EASC)
58. Western Area Supply Center (WASC)
59. Headquarters, administrative supporting facilities, Regions and Districts.
60. Unique distribution.
61. Not distributed.

Requisition Codes

EASC	Send Form 7380 to the Eastern Area Supply Center, Somerville, NJ 08877–9998.
ER	Employee Relations Department, USPS Headquarters, Washington, DC 20260–4200.
IS	Inspection Service, USPS Headquarters, Washington, DC 20260–2100.
LR	Labor Relations Department, USPS Headquarters, Washington, DC 20260–4100.
RAB	Send Form 1286 to your Regional Administration Branch (RAB). Your RAB reviews requests and forwards to source which fills orders. (Headquarters requests are sent to Directives and Forms Division.)
RTC	Send Form 1286 to the Registrar, Technical Center, P.O. Box 1400, Norman, OK 73070–8000.
SC	Send Form 7380 to your designated Eastern or Western Area Supply Center.

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